

COMPLAINT OF POSSIBLE PROHIBITED PERSONNEL PRACTICE  
OR  
OTHER PROHIBITED ACTIVITY

**IMPORTANT**

**Before filling out this Office of Special Counsel (OSC) form, please read the following information about:** (1) the required complaint format; (2) the scope of OSC's jurisdiction; and (3) certain OSC policies. OSC cannot investigate a complaint if it lacks jurisdiction over the subject matter. Further, filing a complaint with OSC will not extend any time limits that may exist under any other complaint procedures that may be available. It is important, therefore, that you consider whether OSC may lack jurisdiction over your complaint.

If you plan to file a complaint alleging reprisal for whistleblowing, important information about the elements required by law to establish such a violation is provided in Part 2 of this form (at page 4).

**INFORMATION ABOUT FILING A COMPLAINT WITH OSC**

**Required Complaint Form.** Complaints alleging a prohibited personnel practice, or a prohibited activity other than a Hatch Act violation, must be submitted on this form. OSC will not process complaints (except a complaint alleging only a Hatch Act violation) that are not submitted on this form. OSC will return the material received, with a blank complaint form to complete and return to OSC. The complaint will be considered to be filed on the date on which OSC receives the completed form. 5 C.F.R. § 1800.1, as amended.

**No OSC Jurisdiction.** OSC has no jurisdiction over complaints filed by employees of –

- the Central Intelligence Agency, Defense Intelligence Agency, National Security Agency, or other intelligence agency excluded from coverage by the President;
- the armed forces of the United States (i.e., uniformed military employees);
- the General Accounting Office;
- the Postal Rate Commission; and
- the Federal Bureau of Investigation.

**Limited OSC Jurisdiction.** OSC has jurisdiction over certain types of complaints filed by employees of some agencies, as follows –

- Federal Aviation Administration employees alleging reprisal for whistleblowing;
- employees of government corporations listed at 31 U.S.C. § 9101 alleging reprisal for whistleblowing; U.S.
- Postal Service employees alleging nepotism; and
- Transportation Security Administration (TSA) employees alleging reprisal for whistleblowing: TSA non-screener employees may file complaints alleging retaliation for protected whistleblowing under 5 U.S.C. § 2302(b)(8). OSC will process these complaints under its regular procedures, including filing petitions with the Merit Systems Protection Board, if warranted. TSA security screeners may also file complaints alleging retaliation for protected whistleblowing under 5 U.S.C. § 2302(b)(8) pursuant to a Memorandum of Understanding (MOU) between OSC and TSA executed on May 28, 2002. The MOU and TSA Directive HRM Letter No. 1800-01 provide OSC with authority to investigate whistleblower retaliation complaints from screeners and recommend that TSA take corrective and/or disciplinary action when warranted. Additional information on OSC procedures for reviewing security screener whistleblower complaints under the MOU is available at <http://www.osc.gov/tsa-info.htm>.

(over)

**VISIT [WWW.OSC.GOV](http://WWW.OSC.GOV)  
FOR MORE INFORMATION ABOUT OSC JURISDICTION AND COMPLAINT PROCEDURES**

### INFORMATION ABOUT FILING A COMPLAINT WITH OSC (cont'd)

**Election of Remedies for Employees Covered By a Collective Bargaining Agreement.** Pursuant to 5 U.S.C. § 7121(g), if you are covered by a collective bargaining agreement, you must choose one of three possible avenues to pursue your prohibited personnel practice complaint: (a) a complaint to OSC; (b) an appeal to the Merit Systems Protection Board (MSPB) (if the action is appealable under law or regulation), or (c) a grievance under the collective bargaining agreement. If you have already filed an appeal about your prohibited personnel practice allegations with the MSPB, or a grievance about those allegations under the collective bargaining agreement, OSC lacks jurisdiction over your complaint and cannot investigate it.

**Deferral of Certain Complaints Involving Discrimination.** Although OSC is authorized to investigate discrimination based upon race, color, religion, sex, national origin, age, or handicapping condition, as well as reprisal for filing an EEO complaint, OSC generally defers such allegations to agency procedures established under regulations issued by the Equal Employment Opportunity Commission (EEOC). 5 C.F.R. § 1810.1. If you wish to report allegations of discrimination based upon race, color, religion, sex, national origin, age, or handicapping condition, or reprisal for filing an EEO complaint, you should contact your agency's EEO office immediately. There are specific time limits for filing such complaints. Filing a complaint with OSC will not relieve you of the obligation to file a complaint with the agency's EEO office within the time prescribed by EEOC regulations (at 29 C.F.R. Part 1614).

**Note:** This deferral policy does not apply to discrimination claims outside the jurisdiction of the EEOC, such as complaints alleging discrimination based upon marital status or political affiliation.

**Complaints Involving Veterans Rights.** By law, complaints alleging denial of veterans' preference requirements must be filed with the Veterans Employment and Training Service (VETS) at the Department of Labor. 38 U.S.C. § 4301, *et seq.*, and 5 U.S.C. § 3330a(a). Certain allegations of discrimination based on the past, current, or future performance of military service (e.g., discrimination based on veteran or reservist status) may be filed with OSC. Thus, you are encouraged to contact OSC's Uniformed Services Employment and Reemployment Rights Act (USERRA) Unit by e-mail at [userra@osc.gov](mailto:userra@osc.gov) or by telephone at 202-254-3600.

#### **SEND COMPLETED COMPLAINT FORMS TO OSC -**

**By Mail:** Complaints Examining Unit  
Office of Special Counsel  
1730 M Street, N.W. (Suite 218)  
Washington, DC 20036-4505  
**By Fax:** (202)254-3711  
**Electronically:** [WWW.OSC.GOV](http://WWW.OSC.GOV) (AT "FILE COMPLAINTS ONLINE")

**PLEASE KEEP A COPY OF YOUR COMPLAINT, ANY SUPPORTING DOCUMENTATION, AND ANY ADDITIONAL ALLEGATIONS SENT IN WRITING TO OSC NOW, OR AT ANY TIME WHILE YOUR COMPLAINT IS PENDING**  
REPRODUCTION CHARGES UNDER THE FREEDOM OF INFORMATION ACT MAY APPLY TO ANY REQUEST YOU MAKE FOR COPIES OF MATERIALS THAT YOU PROVIDED TO OSC.

**IF YOU ARE FILING AN ALLEGATION OF REPRISAL FOR WHISTLEBLOWING,**  
PLEASE SEE PART 2 OF THE COMPLAINT FROM, AT PAGES 4-5, FOR OTHER RECORDKEEPING CONSIDERATIONS.

(Please print legibly or type and complete all pertinent items. Enter "N/A" (Not Applicable) or "Unknown" where appropriate. (If more space is needed, use Continuation Sheet at page 12.)

Date (approximate):

10. What is the employment status of the person affected by the suspected prohibited personnel practice or other prohibited activity?  
(Check all applicable items - more than one item may apply.)

- a. ☐ Applicant for Federal employment
- b. ☐ Competitive Service  
☐ temporary appointment ☐ career or career-conditional appointment  
☐ term appointment ☐ probationary employee
- c. ☐ Excepted Service  
☐ Schedule A ☐ Postal Service  
☐ Schedule B ☐ Tennessee Valley Authority  
☐ Schedule C ☐ VA Dept. of Medicine and Surgery  
☐ National Guard Technician ☐ Veterans Readjustment Act (VRA)  
☐ Non-appropriated Fund ☐ Other (Specify) \_\_\_\_\_
- d. ☒ Senior Executive Service (SES), Supergrade, or Executive Level  
☒ career SES ☐ Executive Level V or above (career) fund  
☐ noncareer SES ☐ Executive Level V or above (noncareer)  
☐ career GS-16, 17, or 18 ☐ Presidential appointee (Senate-confirmed)  
☐ noncareer GS-16, 17, or 18
- e. ☐ Other  
☐ civil service annuitant ☐ military officer or enlisted person  
☐ former civil service employee ☐ contract employee  
☐ competitive service ☐ other (specify): \_\_\_\_\_  
☐ excepted service ☐ unknown

11. What other action(s), if any, have you taken to appeal, grieve, or report this matter under any other procedure? (Check all that apply.)

- ☒ None, or not applicable Date: \_\_\_\_\_
- ☐ Appeal filed with Merit Systems Protection Board (MSPB) Date: \_\_\_\_\_
- ☐ Petition for reconsideration of initial decision filed with MSPB Date: \_\_\_\_\_  
Initial Decision No. \_\_\_\_\_
- ☐ USERRA claim filed with VETS (Department of Labor) Date: \_\_\_\_\_  
(Form VETS/USERRA/VP-1010)
- ☐ Grievance filed under agency grievance procedure Date: \_\_\_\_\_
- ☐ Grievance filed under negotiated grievance procedure Date: \_\_\_\_\_
- ☐ Matter heard by arbitrator under grievance procedure Date: \_\_\_\_\_
- ☐ Matter is pending in arbitration Date: \_\_\_\_\_
- ☐ Discrimination complaint filed with agency Date: \_\_\_\_\_
- ☐ Agency or Administrative Judge (AJ) decision on discrimination complaint appealed Date: \_\_\_\_\_  
to Equal Employment Opportunity Commission
- ☐ Appeal filed with Office of Personnel Management Date: \_\_\_\_\_
- ☐ Unfair labor practice (ULP) complaint filed with Federal Labor Relations Authority Date: \_\_\_\_\_  
General Counsel
- ☐ Lawsuit filed in Federal Court Date: \_\_\_\_\_  
Court name: \_\_\_\_\_
- ☐ Reported matter to agency Inspector General Date: \_\_\_\_\_
- ☐ Reported matter to member of Congress Date: \_\_\_\_\_  
Name of Senator or Representative: \_\_\_\_\_
- ☐ Other (specify): \_\_\_\_\_

12. What official is responsible for the violation(s) that you are reporting, and what is his/her employment status? (See question 10 for appropriate description of employment status. If space is needed to identify more than one official, use Continuation Sheet at page 12.)

Name: James Cason

Position/Title: Associate Deputy Secretary

Employment Status: Currently employed

13. What are the actions or events that you are reporting to OSC? (To the extent known, specifically list: (a) any suspected prohibited personnel practices or other prohibited activity, other than reprisal for whistleblowing; and (b) any personnel actions involved. **(IF YOU ARE ALLEGING REPRISAL FOR WHISTLEBLOWING, SKIP TO PART 2 ON THE NEXT PAGE. )**)

14. Provide details of the actions or events shown in your response to question 13. (Be as specific as possible about dates, locations, and the identities and positions of all persons mentioned. In particular, identify actual and potential witnesses, giving work locations and telephone numbers when possible. Also, attach any pertinent documents that you may have. Please provide, if possible, a copy of the notification of the agency's proposal and/or decision about the personnel action(s) covered by your request for OSC action. If more space is needed, use Continuation Sheet at page 12.)

15. What action would you like OSC to take in this matter (that is, what remedy are you asking for?)

## **PART 2: REPRISAL FOR WHISTLEBLOWING**

*This part of the form is solely for use by persons alleging reprisal for whistleblowing (that is, persons who believe that personnel actions were taken, not taken, or threatened because of a whistleblower disclosure). Please read the introductory material before answering the questions that follow. If more space is needed, use the continuation sheet at page 12.*

*Complainants not alleging reprisal for whistleblowing should proceed to Part 3 ("Consent to Certain Disclosures of Information"), at page 9.*

### **Reprisal for Whistleblowing Allegations**

As a general rule, it is a prohibited personnel practice to take or fail to take, or threaten to take or fail to take, a personnel action because of a protected disclosure of certain types of information by a Federal employee, former employee, or applicant for Federal employment. 5 U.S.C. § 2302(b)(8).

### **Legal Elements of a Violation**

By law, certain elements must be present before OSC can establish that a legal violation of law has occurred. Two of the required elements that must be established are: (1) that a whistleblower disclosure was made; and (2) that an agency took, failed to take, or threatened to take or fail to take a personnel action because of the whistleblower disclosure. Your description of these elements will help OSC's investigation of your allegation(s).

### **Protected Disclosures**

A disclosure of information is a protected whistleblower disclosure if a Federal employee, former employee, or applicant for Federal employment discloses information which he or she reasonably believes evidences: (a) a violation of any law, rule, or regulation; (b) gross mismanagement; (c) a gross waste of funds; (d) abuse of authority; or (e) a substantial and specific danger to public health or safety.

### **Covered Personnel Actions**

The law prohibiting reprisal for whistleblowing requires proof that one or more of the following personnel actions occurred, or failed to occur, because of a protected disclosure:

- (1) an appointment;
- (2) a promotion;
- (3) an action under 5 U.S.C. chapter 75 or other disciplinary or corrective action;

- (4) a detail, transfer, or reassignment;
- (5) a reinstatement;
- (6) a restoration;
- (7) a reemployment;
- (8) a decision about pay, benefits, or awards, concerning education or training if the education or training may reasonably be expected to lead to an appointment, promotion, performance evaluation, or other action described in 5 U.S.C. § 2302(a)(2);
- (9) a performance evaluation under 5 U.S.C. chapter 43;
- (10) a decision to order psychiatric testing or examination; or
- (11) any other significant change in duties, responsibilities, or working conditions.

### **Reporting Your Allegation(s)**

In the section that starts below (pages 6-8), provide the information requested about all disclosures that you believe led to reprisal by the agency involved. If more space is needed, use extra copies of page 6-8, or the Continuation Sheet at page 12. **If any of the disclosures were in writing, please provide a copy of the disclosure with your complaint.**

**IT IS IMPORTANT THAT YOU LIST ALL DISCLOSURES AND PERSONNEL ACTIONS INVOLVED IN YOUR COMPLAINT.** This is because: (1) failure to list any disclosure or personnel action may delay the processing of your complaint by OSC; and (2) a comprehensive listing will avoid disputes in any later Individual Right of Action (IRA) appeal that you may file with the Merit Systems Protection Board (MSPB) about its jurisdiction to hear case.

Additional allegations of reprisal for whistleblowing may be added to this complaint while it is pending at OSC. Submission of any such additional allegations to OSC **in writing** will help you if you decide to file any later IRA appeal with the MSPB. Form OSC-11a is available for that purpose at OSC's web site, under "Forms."

### **Appeal to the Merit Systems Protection Board (MSPB)**

If OSC fails to complete its review of your whistleblower reprisal allegation within 120 days after it receives your complaint, or if it closes your complaint at any time without seeking corrective action on your behalf, you have the right to file IRA appeal with the MSPB. 5 U.S.C. § 1214(a)(3).

### **Recordkeeping**

To establish its jurisdiction over any later IRA appeal that you may file, the MSPB will require you to show that the appeal relates to the same whistleblower disclosure(s) and personnel action(s) involved in your complaint to OSC. **A copy of the whistleblower reprisal allegations in your complaint, any supporting documentation about those allegations that you sent with the complaint, and any additional allegation of reprisal that you submitted in writing to OSC while the complaint was pending, will serve as proof in any IRA of the disclosure(s) and personnel action(s) involved in your OSC complaint. IT IS IMPORTANT, THEREFORE, THAT YOU MAKE AND KEEP COPIES OF ALL THESE DOCUMENT FOR YOUR RECORDS.**

**MUST BE COMPLETED FOR ALL DISCLOSURES REPORTED IN THIS COMPLAINT**

<p><b>A. WHAT INFORMATION WAS DISCLOSED?</b> (DESCRIBE WHISTLEBLOWER DISCLOSURE).</p>	
<p>As background, my job involved working to help Alaska Native communities in danger of being washed into the sea. The GAO has designated the Kivalina, Shishmaref, and Shaktoolik communities as imminently threatened. I served as DOI's staff lead on Arctic issues and collaborated with the prior White House to establish the Arctic Executive Steering Committee (AESC). I chair the Community Resilience Working Group of the AESC, which is an interagency federal body collaborating with the State of Alaska and the Denali Commission to relocate, evacuate, and sustain these threatened communities. I also co-chaired implementation of the North Bering Sea Climate Resilience Executive Order, which this Administration rescinded. I disclosed the danger to the public health of these communities on many occasions. On June 9, I spoke about these issues at the UN. I disclosed the threat to American lives. I explained that the villages are sliding into the sea and the threats are growing.</p>	<p>1. WHEN WAS THE DISCLOSURE MADE? (MO/DA/YR) June 9, 2017</p> <p>2. TO WHOM (NAME AND TITLE) WAS THE DISCLOSURE MADE? United Nations</p> <p>3. DISCLOSURE OF INFORMATION EVIDENCED (check all that apply):  <input type="checkbox"/> VIOLATION OF LAW, RULE, OR REGULATION  <input type="checkbox"/> GROSS MISMANAGEMENT  <input type="checkbox"/> GROSS WASTE OF FUNDS  <input type="checkbox"/> ABUSE OF AUTHORITY  <input checked="" type="checkbox"/> SUBSTANTIAL AND SPECIFIC DANGER TO PUBLIC HEALTH OR SAFETY  <input type="checkbox"/> NONE OF THE ABOVE         </p> <p>4. WHAT PERSONNEL ACTION(S) OCCURRED, FAILED TO OCCUR, OR WAS THREATENED BECAUSE OF THE DISCLOSURE? (List all applicable personnel action numbers from pages 4-5). 4. Reassignment; 11. Significant change in ...</p> <p>5. WHEN DID PERSONNEL ACTION(S) OR THREAT(S) OCCUR? (MO/DA/YR) June 15, 2017; July 10, 2017</p>
<p><b>B. WHAT INFORMATION WAS DISCLOSED?</b> (DESCRIBE NEXT WHISTLEBLOWER DISCLOSURE).</p>	
<p>On April 21, 2017, I emailed the Special Assistant to the President for International Energy and Environment about the importance of building resilience for these communities. When we discuss "resilience," we are referring to the capacity for a community to survive major disruptions, so for these imminently threatened communities, resilience actions include relocation, evacuation plans, erosion control, and subsistence. I advised that we needed to build resilience. I also explained that coordinating the resilience efforts would save the federal government money. I attached a summary of the Arctic Resilience Action Framework (ARAF) to the email. Also as background, I led the development and implementation of an international program of climate resilience activities for the two year period of the US Chairmanship of the Arctic Council (2015-2017). I chaired the ARAF drafting committee.</p>	<p>1. WHEN WAS THE DISCLOSURE MADE? (MO/DA/YR) April 21, 2017</p> <p>2. TO WHOM (NAME AND TITLE) WAS THE DISCLOSURE MADE? George D. Banks, Spec. Assist. to the President</p> <p>3. DISCLOSURE OF INFORMATION EVIDENCED (check all that apply):  <input type="checkbox"/> VIOLATION OF LAW, RULE, OR REGULATION  <input type="checkbox"/> GROSS MISMANAGEMENT  <input checked="" type="checkbox"/> GROSS WASTE OF FUNDS  <input type="checkbox"/> ABUSE OF AUTHORITY  <input checked="" type="checkbox"/> SUBSTANTIAL AND SPECIFIC DANGER TO PUBLIC HEALTH OR SAFETY  <input type="checkbox"/> NONE OF THE ABOVE         </p> <p>4. WHAT PERSONNEL ACTION(S) OCCURRED, FAILED TO OCCUR, OR WAS THREATENED BECAUSE OF THE DISCLOSURE? (List all applicable personnel action numbers from pages 4-5). 4. Reassignment; 11. Significant change in...</p> <p>5. WHEN DID PERSONNEL ACTION(S) OR THREAT(S) OCCUR? (MO/DA/YR) June 15, 2017; July 10, 2017</p>

**KEEP A COPY OF THIS PAGE FOR YOUR RECORDS**



**MUST BE COMPLETED FOR ALL DISCLOSURES REPORTED IN THIS COMPLAINT**

<p><b>C. WHAT INFORMATION WAS DISCLOSED?</b> (DESCRIBE NEXT WHISTLEBLOWER DISCLOSURE).</p> <p>I spoke at the Week of the Arctic, which Secretary Tillerson of the State Department attended. The event re-capped the two year US Chairmanship of the Arctic Counsel. I spoke about the threats to the villages sliding into the sea, the Arctic Resilience Action Framework, disaster risk reduction, and financial issues including the cost to governments and options for private investment.</p>	<p><b>1. WHEN WAS THE DISCLOSURE MADE? (MO/DA/YR)</b></p> <p>May 10, 2017</p> <p><b>2. TO WHOM (NAME AND TITLE) WAS THE DISCLOSURE MADE?</b></p> <p>Public - speaking engagement in Fairbanks, AK</p> <p><b>3. DISCLOSURE OF INFORMATION EVIDENCED (check all that apply):</b>  <input type="checkbox"/> VIOLATION OF LAW, RULE, OR REGULATION  <input type="checkbox"/> GROSS MISMANAGEMENT  <input type="checkbox"/> GROSS WASTE OF FUNDS  <input type="checkbox"/> ABUSE OF AUTHORITY  <input checked="" type="checkbox"/> SUBSTANTIAL AND SPECIFIC DANGER TO PUBLIC HEALTH OR SAFETY  <input type="checkbox"/> NONE OF THE ABOVE</p> <p><b>4. WHAT PERSONNEL ACTION(S) OCCURRED, FAILED TO OCCUR, OR WAS THREATENED BECAUSE OF THE DISCLOSURE?</b></p> <p>4. Reassignment; 11. Significant change in...</p> <p><b>5. WHEN DID PERSONNEL ACTION(S) OR THREAT(S) OCCUR? (MO/DA/YR)</b></p> <p>June 15, 2017; July 10, 2017</p>
<p><b>D. WHAT INFORMATION WAS DISCLOSED?</b> (DESCRIBE NEXT WHISTLEBLOWER DISCLOSURE).</p> <p>I spoke about the suffering in Alaska, including the villages being washed into the sea and melting permafrost. I discussed the importance of science, building resilience, governance, and encouraging investment in order to address the threat</p>	<p><b>1. WHEN WAS THE DISCLOSURE MADE? (MO/DA/YR)</b></p> <p>November 25, 2016</p> <p><b>2. TO WHOM (NAME AND TITLE) WAS THE DISCLOSURE MADE?</b></p> <p>Public - speaking engagement in Stockholm</p> <p><b>3. DISCLOSURE OF INFORMATION EVIDENCED (check all that apply):</b>  <input type="checkbox"/> VIOLATION OF LAW, RULE, OR REGULATION  <input type="checkbox"/> GROSS MISMANAGEMENT  <input type="checkbox"/> GROSS WASTE OF FUNDS  <input type="checkbox"/> ABUSE OF AUTHORITY  <input checked="" type="checkbox"/> SUBSTANTIAL AND SPECIFIC DANGER TO PUBLIC HEALTH OR SAFETY  <input type="checkbox"/> NONE OF THE ABOVE</p> <p><b>4. WHAT PERSONNEL ACTION(S) OCCURRED, FAILED TO OCCUR, OR WAS THREATENED BECAUSE OF THE DISCLOSURE? (List all applicable personnel action numbers from pages 4-5).</b></p> <p>4. Reassignment; 11. Significant change in...</p> <p><b>5. WHEN DID PERSONNEL ACTION(S) OR THREAT(S) OCCUR?</b></p> <p>June 15, 2017; July 10, 2017</p>

**KEEP A COPY OF THIS PAGE FOR YOUR RECORDS**

**MUST BE COMPLETED FOR ALL DISCLOSURES INCLUDED IN THIS COMPLAINT**

3. If you are not the person who actually made a disclosure described in boxes A, B, C, D above, please check below to specify the disclosure involved, and provide the name, address, and telephone number of the person who made the disclosure, if known. (If space is needed to identify more than one person, use Continuation Sheet at page 12.)

Disclosure:            A ( ☐ )            B ( ☐ )            C ( ☐ )            D ( ☐ )

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone number: (    ) \_\_\_\_\_ Ext. \_\_\_\_\_

4. Explain why you believe that the personnel action(s) listed above occurred because of the disclosure(s) that you described. (Be as specific as possible about any dates, locations, names, and positions of all persons mentioned in your explanation. In particular, identify actual and potential witnesses, giving work locations and telephone numbers, if known. Attach a copy of any documents that support your statements. Please provide, if possible, a copy of the notification of the agency's proposal and/or decision about the personnel action(s) covered by your complaint. If more space is needed, continue on page 12.)

I believe the Department reassigned me due to my disclosures about the imminent danger to several Alaska Native communities. These villages are eroding into the sea due to melting permafrost, storms, waves, and receding sea ice. I have been vocal in public, to senior Interior Department officials, and to members of this Administration about the importance of Arctic resilience strategies to mitigate this threat to American lives.

Six days before I received the order reassigning me, I spoke about this threat at the United Nations. In April 2017, I disclosed the danger to the Special Assistant to the President for International Energy and Environment. I spoke publicly in Alaska and Stockholm in May 2017 and November 2016, respectively. The close temporal proximity between my disclosures and reassignment lead me to conclude the reassignment was retaliatory.

I also believe my reassignment was retaliatory because I was reassigned to a position that has nothing to do with my skills or areas of expertise. (continued on page 12)

5. What action would you like OSC to take in this matter (that is, what remedy are you asking for)?

I am seeking the following:

- 1) An order from OSC to the Department to return me to the position I encumbered prior to the reassignment;
- 2) A comprehensive investigation into the motives behind and procedures used to reassign members of the Senior Executive Service on and since June 15, 2017;
- 3) Compensatory damages; and
- 4) Attorneys' fees and costs.

**KEEP A COPY OF THIS PAGE FOR YOUR RECORDS**

### PART 3: CONSENT TO CERTAIN DISCLOSURES OF INFORMATION

OSC asks everyone who files a complaint alleging a possible prohibited personnel practice or other prohibited activity to select one of three Consent Statements shown below. **IF YOU DO NOT SELECT ONE OF THE THREE CONSENT STATEMENTS BELOW, OSC WILL ASSUME THAT YOU HAVE SELECTED CONSENT STATEMENT 1.** Please: (a) select and sign (or check, if filing electronically) one of the Consent Statements below; and (b) keep a copy of the Consent Statement you select (as well as a copy of all documents that you send to OSC) for your own records.

If you initially select a Consent Statement that restricts OSC's use of information, you may later select a less restrictive Consent Statement. If your selection of Consent Statement 2 or 3 prevents OSC from being able to conduct an investigation, an OSC representative will contact you, explain the circumstances, and provide you with an opportunity to select a less restrictive Consent Statement.

You should be aware that the Privacy Act allows information in OSC case files to be used or disclosed for certain purposes, regardless of which Consent Statement you sign. See 5 U.S.C. § 552a(b). Information about certain circumstances under which OSC can use or disclose information under the Privacy Act appears on the next page.

(Please sign one)

#### Consent Statement 1

I *consent* to OSC's communication with the agency involved in my complaint. I agree to allow OSC to disclose my identity as the complainant, and information from or about me, to the agency if OSC decides that such disclosure is needed to investigate the allegation(s) in my complaint (for example, to request information from the agency, or seek a possible resolution through mediation or corrective action). I understand that regardless of the Consent Statement I choose, OSC may disclose information from my complaint file when permitted by the Privacy Act (including circumstances summarized in Part 5, below).

Complainant's Signature for Consent Statement 1

7/12/17  
Date Signed

#### Consent Statement 2

I *consent* to OSC's communication with the agency involved in my complaint, but I do not agree to allow OSC to disclose my identity as the complainant to that agency. I agree to allow OSC to disclose only information from or about me, without disclosing my name or other identifying information, if OSC decides that such disclosure is needed to investigate the allegation(s) in my complaint (for example, to request information from the agency, or seek a possible resolution through mediation or corrective action). I understand that in some circumstances (for example, if I am complaining about my failure to receive a promotion), OSC could not maintain my anonymity while communicating with the agency involved about a specific personnel action. In such cases, I understand that this request for confidentiality might prevent OSC from taking further action on my complaint. I also understand that regardless of the Consent Statement I choose, OSC may disclose information from my complaint file when permitted by the Privacy Act (including circumstances summarized in Part 5, below).

Complainant's Signature for Consent Statement 2

Date Signed

#### Consent Statement 3

I *do not consent* to OSC's communication with the agency involved in my complaint. I understand that if OSC decides that it cannot investigate the allegation(s) in my complaint without communicating with that agency, my lack of consent will probably prevent OSC from taking further action on the complaint. I understand that regardless of the Consent Statement I choose, OSC may disclose information from my complaint file when permitted by the Privacy Act (including circumstances summarized in Part 5, below).

Complainant's Signature for Consent Statement 3

Date Signed

#### PART 4: CERTIFICATION AND SIGNATURE

I certify that all of the statements made in this complaint (including any continuation pages) are true, complete, and correct to the best of my knowledge and belief. I understand that a false statement or concealment of a material fact is a criminal offense punishable by a fine of up to \$250,000, imprisonment for up to five years, or both. 18 U.S.C. § 1001.

Signature

Date Signed

7/12/17

#### PART 5: PRIVACY ACT / PAPERWORK REDUCTION ACT STATEMENTS

Routine Uses. Limited disclosure of information from OSC files is needed to fulfill OSC's investigative, prosecutorial, and related responsibilities. OSC has described 18 routine uses for information in its files in the *Federal Register* (F.R.), at 66 F.R. 36611 (July 12, 2001), and 66 F.R. 51095 (October 5, 2001). A copy of the routine uses is available from OSC upon request. A summary of the routine uses appears below.

OSC may disclose information from its files in the following circumstances:

1. to disclose that an allegation of prohibited personnel practices or other prohibited activity has been filed;
2. to disclose information to the Office of Personnel Management (OPM) as needed for inquiries involving civil service laws, rules or regulations, or to obtain an advisory opinion;
3. to disclose information about allegations or complaints of discrimination to entities concerned with enforcement of antidiscrimination laws;
4. to the MSPB or the President, when seeking disciplinary action;
5. to the involved agency, MSPB, OPM, or the President when OSC has reason to believe that a prohibited personnel practice has occurred, exists, or is to be taken;
6. to disclose information to Congress in OSC's annual report;
7. to disclose information to third parties as needed to conduct an investigation; obtain an agency investigation and report on information disclosed to OSC's whistleblower disclosure channel; or to give notice of the status or outcome of an investigation;
8. to disclose information as needed to obtain information about hiring or retention of an employee; issuance of a security clearance; conduct of a security or suitability investigation; award of a contract; or issuance of a license, grant, or other benefit;
9. to the Office of Management and Budget (OMB) for certain legislative coordination and clearance purposes;

10. to provide information from an individual's record to a congressional office acting pursuant to the individual's request;
11. to furnish information to the National Archives and Records Administration for records management purposes;
12. to produce summary statistics and work force or other studies;
13. to provide information to the Department of Justice as needed for certain litigation purposes;
14. to provide information to courts or adjudicative bodies as needed for certain litigation purposes;
15. to disclose information to the MSPB as needed in special studies authorized by law;
16. for coordination with an agency's Office of Inspector General or comparable entity, to facilitate the coordination and conduct of investigations and review of allegations;
17. to news media or the public in certain circumstances (except when the Special Counsel determines that disclosure in a particular case would be an unwarranted invasion of personal privacy); and
18. to the Department of Labor and others as needed to implement the Uniformed Services Employment and Reemployment Rights Act of 1994, and the Veterans' Employment Opportunities Act of 1998.

If OSC officials believe that disclosure may be appropriate in a situation not covered by one of OSC's routine uses, or one of the 11 other exceptions to the Privacy Act's general prohibition on disclosure, OSC will seek written authorization from the complainant permitting the disclosure.

Purposes, Burdens, and Other Information. An agency may not conduct or sponsor a collection of information, and persons may not be required to respond to a collection of information, unless it: (a) has been approved by OMB, and (b) displays a currently valid OMB control number. The information in this form is collected pursuant to OSC's legal responsibility to investigate: (a) allegations of prohibited personnel practices, to the extent necessary to determine whether there are reasonable grounds to believe that a prohibited personnel practice has occurred, exists, or is to be taken (5 U.S.C. § 1214); and (b) other allegations of prohibited activity (5 U.S.C. § 1216). The information will be reviewed by OSC to determine whether the facts establish its jurisdiction over the subject of the complaint, and whether further investigation and corrective or disciplinary action is warranted. The reporting burden for this collection of information is estimated to be an average of one hour and 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the form. Please send any comments about this burden estimate, and suggestions for reducing the burden, to the Office of Special Counsel, Legal Counsel and Policy Division, 1730 M Street, N.W. (Suite 218), Washington, DC 20036-4505. Use of this form to file a complaint alleging a prohibited personnel practice or other prohibited activity is required; use of this to file a complaint alleging only a Hatch Act violation is not required. 5 C.F.R. § 1800.1(d), as amended. As stated in Part 3 of this form, complainants may request that OSC maintain their name, and information provided by them, in confidence.

## CONTINUATION SHEET

Part No.	Item/Question No.	Response Continuation
2.	Question 4, page 8.	<p>I was reassigned to the Office of Natural Resources Revenue. ONRR collects, accounts for, and verifies revenue from oil and gas leases. I have no training in auditing and have never worked on such revenues. I met with my new boss and he confirmed that ONRR has no need for an employee with my knowledge and experience. I was reassigned to a position with a job title, but no duties. I believe I was reassigned to this position so I would be unable to work on mitigating the danger to Native Alaskan communities, to punish me for my past such efforts, and to push me to quit.</p> <p>In my old job, I supervised twenty-four people. In my new job, I supervise none.</p> <p>My prior position was Director, Office of Policy Analysis, Office of the Secretary, Assistant Secretary - Policy, Management and Budget (BS-0340). My new title is Senior Program Advisor (BS-0301). I have attached a recent organizational chart showing that my prior position was on it and my new position is not.</p> <p>I have been at Interior for seven years and received exceptional performance evaluations every year.</p> <p>Before reassigning me, leadership did not discuss my skills or experience with me to identify how I could serve the new Administration's goals. The work I perform is not partisan and I had every intention of continuing to work to assist Alaska Native communities under the new Administration.</p>
2.	Additional Disclosures	<p>In addition to Disclosures A-D above, I disclosed the danger to Alaska Native communities directly to other Interior officials. Prior to the public presentations, I briefed Acting Deputy Assistant Secretary Steve Glomb.</p> <p>I also sent several weekly reports referencing the danger to Mr. Glomb and to the Acting Assistant Secretary, Policy, Management and Budget (Amy Holley). The weekly reports I sent on March 2, March 30, and April 27, 2017, referenced the Community Resilience Working Group (CRWG). I chair the CRWG, which focuses on relocation, evacuation, erosion control, and subsistence in these communities. I also disclosed these issues during monthly CRWG meetings on February 14, April 11, May 16, and June 13.</p> <p>On May 17, 2017, I presented at a "plus ones" meeting of the Arctic Executive Steering Committee which took place in the Eisenhower Executive Office Building. Officials from Interior, NOAA, HHS, HUD, Agriculture, the Executive Office of the President, State, and a number of other agencies were present.</p>

**KEEP A COPY OF THIS PAGE FOR YOUR RECORDS IF YOU ARE  
ALLEGING  
REPRISAL FOR WHISTLEBLOWING**

Attachment A  
Joel Clement Form 11



# United States Department of the Interior

OFFICE OF THE SECRETARY

Washington, DC 20240

JUN 15 2017

Memorandum

To: Joel Clement

From: James Cason  
Associate Deputy Secretary  
Chairperson, Executive Resources Board

Subject: Senior Executive Service Directed Reassignment

The Senior Executive Service (SES) was established by Title IV of the Civil Service Reform Act (CSRA) of 1978 (P.L. 95-454, October 13, 1978). The intent of the CSRA was to create a corps of seasoned leaders with broad and diverse experiences who can lead a variety of organizations. Congress intended the SES to be a mobile corps of managers. As a member of the SES, you serve the vital role of ensuring that the executive management of the Department is both responsive to the needs, policies, and goals of the nation and is of the highest quality.

Rotation of SES provides an opportunity to improve talent development, mission delivery, and collaboration. It facilitates joint problem-solving and effective decision-making. This memorandum is to inform you that the Executive Resources Board has approved your reassignment from the position of Director, Office of Policy Analysis, Office of the Secretary, Assistant Secretary – Policy, Management and Budget, duty station Washington, DC to Senior Program Advisor, ES-0301, with the Office of Natural Resources Revenue, duty station Washington, DC. You will retain your career appointment and your pay level will remain the same. As the Director of the Office of Policy Analysis, you oversee cross-cutting analysis and coordination to support decision-making and policies. You oversee the development of the annual report on the Department's economic contributions to the National economy. You are experienced at leading experts that provide objective economic and policy analysis. You are well qualified to serve as Senior Program Advisor of the Office of Natural Resources Revenue.

This letter provides you the required 15 days advanced notice of your directed reassignment as required by 5 CFR 317.901(b)(1). The effective date of this reassignment will be no earlier than 15 days after your receipt of this notification, unless you elect to waive the notification period and report for duty at an earlier date. Please indicate your acknowledgement of receipt and decision on the attached decision copy of this memorandum and return to Ms. Mary Pletcher, Deputy Assistant Secretary – Human Capital and Diversity and Chief Human Capital Officer. Acknowledgement of receipt does not indicate agreement with this action. Questions concerning this reassignment should be addressed to Ms. Pletcher. She can be reached on (202) 208-4505 or via email at [mary\\_pletcher@ios.doi.gov](mailto:mary_pletcher@ios.doi.gov).

Mailing Address:



Mary Pletcher - Deputy Assistant Secretary for Human Capital and Diversity  
Department of the Interior  
1849 C Street, NW  
Mail Stop 5125  
Washington, DC 20240

Receipt Acknowledged:

Date: \_\_\_\_\_ Signature: \_\_\_\_\_  
NAME

I hereby waive the 15-day notice and request that the reassignment be effective as soon as practicable, but not before June 29, 2017.

\_\_\_\_\_  
Name Date

I do not wish to waive the 15-day notice period and request that the action be effected at least 15 days after your memorandum advising me of the reassignment. The reassignment will not be effective before June 29, 2017.

\_\_\_\_\_  
Name Date

Attachment B  
Joel Clement Form 11

## NOTIFICATION OF PERSONNEL ACTION

1. Name (Last, First, Middle) CLEMENT, JOEL P.		2. Social Security Number [REDACTED]	3. Date of Birth [REDACTED]	4. Effective Date 01/02/11
5-A. Code 142		5-B. Nature Of Action SES CAREER APPT		
5-C. Code V2M		5-D. Legal Authority 5 U.S.C. 3393		
5-E. Code		5-F. Legal Authority		

7. FROM: Position Title and Number					15. TO: Position Title and Number DIRECTOR, OFFICE OF POLICY ANALYSIS 60120000 ES01327						
8. Pay Plan ES	9. Occ. Code 0340	10. Grade/Level 00	11. Step/Rate 00	12. Total Salary \$119554	13. Pay Basis PA	16. Pay Plan ES	17. Occ. Code 0340	18. Grade/Level 00	19. Step/Rate 00	20. Total Salary/Award \$119554	21. Pay Basis PA
12A. Basic Pay \$119554		12B. Locality Adj. \$ 0		12C. Adj. Basic Pay \$119554		12D. Other Pay \$ 0					

14. Name and Location of Position's Organization					22. Name and Location of Position's Organization ASST SECY-POLICY, MGMT & BUDGET/CFO DEP ASST SECY-PLCY & INTERNL AFFAIRS OFFICE OF POLICY ANALYSIS  WASHINGTON, DC				
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23. Veterans Preference 1 - None 2 - 5 Point 3 - 10 Point Disability 4 - 10 Point Compensable 5 - 10 Point Other 6 - 10 Point Compensable/30%					24. Tenure 0 - None 1 - Permanent 2 - Conditional 3 - Indefinite					25. Agency Use					26. Veterans Preference for RIF YES <input checked="" type="checkbox"/> NO <input type="checkbox"/>									
27. FEGLI BASIC ONLY CO										28. Annuity Indicator 9 NOT APPLICABLE										29. Pay Rate Determinant 0				
30. Retirement Plan K FERS & FICA										31. Service Comp. Date (Leave) 01/02/11					32. Work Schedule F FULL-TIME					33. Part-Time Hours Per Biweekly Pay Period				
34. Position Occupied 3										35. FLSA Category E - Exempt N - Nonexempt					36. Appropriation Code					37. Bargaining Unit Status 8888				
38. Duty Station Code 11-0010-001										39. Duty Station (City - County - State or Overseas Location) WASHINGTON, DISTRICT OF COLUMBIA														
40. Agency DRWNC CLS 00					41. VET-STAT X					42. EDUC LVL 17					43. SUPV STAT 2					44. POSITION SENSITIVITY HIGH RISK				

## 45. Remarks

VETERAN PREFERENCE IS NOT APPLICABLE TO THE SENIOR EXECUTIVE SERVICE.  
 TENURE AS USED FOR 5 U.S.C. 3502 IS NOT APPLICABLE TO THE SENIOR EXECUTIVE SERVICE.  
 APPOINTMENT AFFIDAVIT EXECUTED 01/02/11.  
 CREDITABLE MILITARY SERVICE: NONE  
 PREVIOUS RETIREMENT COVERAGE: NEVER COVERED  
 FROZEN SERVICE NONE  
 EMPLOYEE IS AUTOMATICALLY COVERED UNDER FERS.  
 SUBJECT TO SATISFACTORY COMPLETION OF ONE YEAR SES PROBATIONARY PERIOD BEGINNING 20110102.  
 ELIGIBLE TO ELECT HEALTH BENEFITS COVERAGE WITHIN 60 DAYS OF THE EFFECTIVE DATE OF THIS PERSONNEL ACTION.

46. Employing Department or Agency IN - OFC OF THE SECRETARY			47. Agency Code IN01			48. Personal Office ID 4342			49. Approval Date 12/30/10			50. Signature, Authority, Title, and Date of Approving Official SANDRA S. WHEATLEY HUMAN RESOURCES OFFICER 102439830		
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2 - OFF Copy - Long-Term Record - DO NOT DESTROY

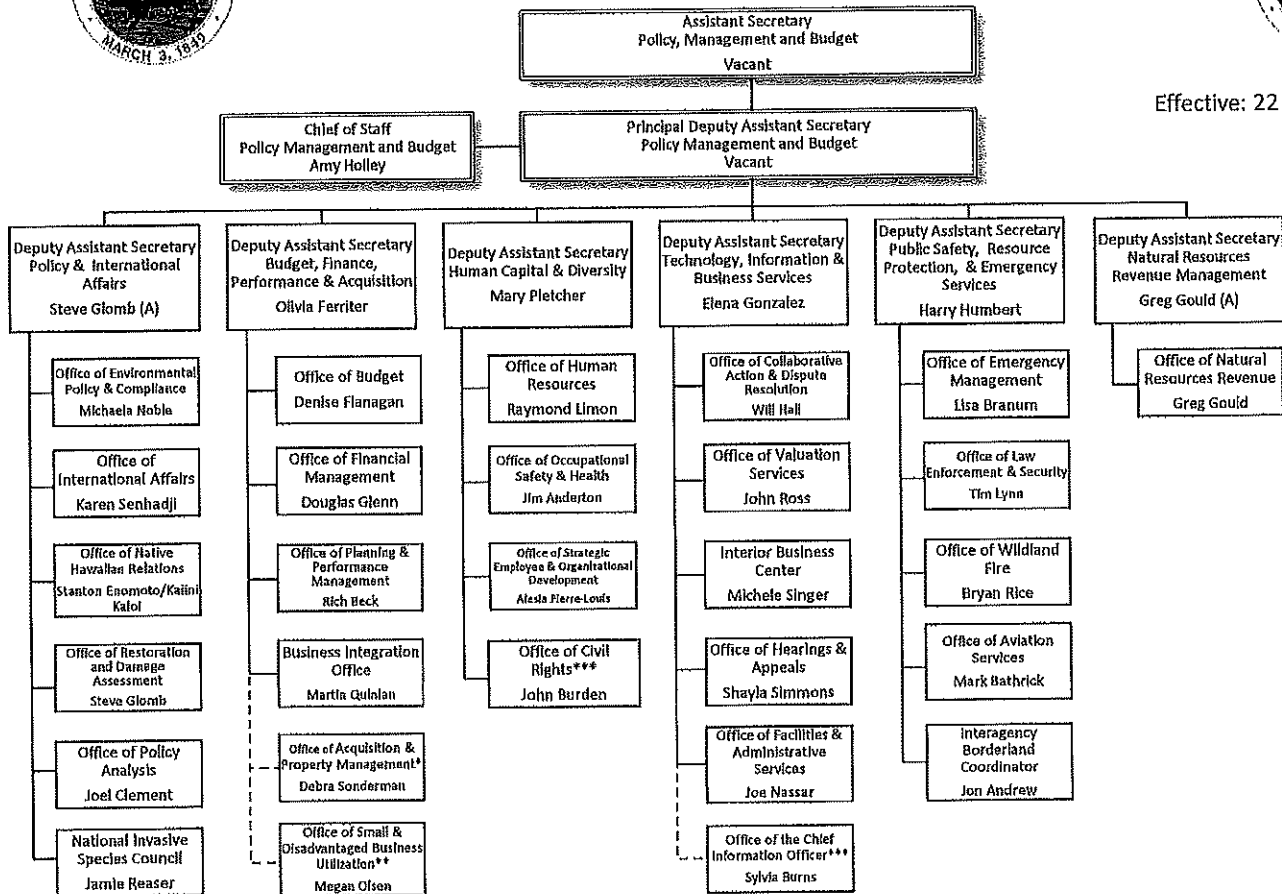
Attachment C  
Joel Clement Form 11



## Assistant Secretary – Policy, Management and Budget



Effective: 22 January 2017



\*The Senior Procurement Executive reports to the Assistant Secretary - PMB who is the Chief Acquisition Officer and receives administrative support and guidance from the Deputy Assistant Secretary - Budget, Finance, Performance and Acquisition.

\*\*Reports to the Deputy Secretary with administrative support provided by the Deputy Assistant Secretary - Budget, Finance, Performance and Acquisition.

\*\*\*Reports to the Secretary of the Interior and receives administrative support and guidance from the Assistant Secretary - PMB and Deputy Assistant Secretary - Human Capital and Diversity (Director, Office of Civil Rights); and Deputy Assistant Secretary - Technology, Information and Business Services (Chief Information Officer).

Attachment D  
Joel Clement Form 11

----- Forwarded message -----

From: Clement, Joel <joel\_clement@ios.doi.gov>

Date: Fri, Apr 21, 2017 at 1:08 PM

Subject: Arctic Resilience Action Framework

To: Mark\_J\_Eshbaugh@nsc.eop.gov, George.D.Banks@who.eop.gov

Cc: Julie Gourley <GourleyJL@state.gov>, Dave Balton <BaltonDA@state.gov>, "Cerquetra, Julie" <CerquetraJ@state.gov>

Gentlemen, as requested via Dave Balton and Julie Gourley:

#### Summary of the Arctic Resilience Action Framework (ARAF)

Building resilience is an effective approach to addressing sustainability issues, especially in the face of rapid changes - whether they be social, economic, or environmental. This approach has broad appeal across the Arctic Council and is not limited to just addressing climate change or other particular drivers. This framework provides the Arctic Council with a common set of Guiding Principles and Priorities for Action, as well as a platform to continue discussing priorities as they evolve. There are no obligations associated with the ARAF, it is only meant to improve coordination of ongoing efforts and share best practices. The AK Governor's office is very enthusiastic about linking this framework to their efforts to assist northern communities and build resilience, and Senator Murkowski has shown keen interest in improving resilience in those same vulnerable communities. There is significant fiscal upside to doing this in a coordinated fashion domestically and internationally, and one of the framework's priority areas is attracting private investment.

I've attached a one-page ARAF at-a-glance doc that shows the goal, guiding principles, priorities, etc.


Regards,

Joel

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Joel Clement - Director, Office of Policy Analysis, U.S. Department of the Interior 202.208.3295

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 ARAF at a glance.docx

# Appendix A: Arctic Resilience Action Framework at a Glance

Outcome			
A measurable increase in the capacity of Arctic States and Arctic communities to understand and respond to risks and changes in ways that support social-ecological development and healthy, functioning ecosystems and ecosystem services.			
Goal			
To mobilize and use the broad competence and expertise of all Arctic Council Member States, Permanent Participants, Working Group secretariats and Observers, along with other Arctic stakeholders, to provide the information, tools, analysis, and capacity necessary to address immediate and future resilience and adaptation needs in the circumpolar Arctic.			
Priority Areas and Action Areas			
Priority Area 1: Analyzing and Understanding Risk and Resilience in the Arctic	Priority Area 2: Building Resilience and Adaptation Capacity	Priority Area 3: Implementing Measures that Build Resilience with Policy, Planning and Cooperation	Priority Area 4: Encouraging Investment to Reduce Risk and Build Resilience
<p>Increase the effectiveness of existing monitoring systems and include social-ecological indicators and their interactions</p> <p>Substantially enhance our understanding of ecologically vulnerable areas and areas in which Arctic-adapted biodiversity can persist under a changing climate</p> <p>Improve short and long-term projections for the Arctic under different future greenhouse gas emission and development scenarios, using natural and social sciences and Indigenous/Traditional Knowledge and local knowledge</p> <p>Expand the documentation of adaptation responses to changing threats in the Arctic</p>	<p>Increase the co-production of knowledge using science, Indigenous/Traditional Knowledge and local knowledge</p> <p>Expand the ability of community-based observation networks to collect critical data for monitoring change and integrate with Earth observations</p> <p>Improve tools for assessing management strategies in changing Arctic ecosystems</p> <p>Ensure data and tools are equitably distributed and easily accessible for local communities, decision makers, and policy makers at all levels</p> <p>Substantially increase the number of communities, youth and emerging leaders that understand Arctic change using a variety of knowledge approaches</p> <p>Increase administrative and planning support to communities, governments and decision makers at all levels, including support for applying resilience knowledge to decision-making</p>	<p>Increase the inclusion of local perspectives in local and sub-regional decision-making</p> <p>Enhance the development and deployment of resilient infrastructure, telecommunications, and technologies to deal with emerging challenges that are unique to the Arctic (e.g., waste, water security, energy, food security, health, etc.)</p> <p>Expand the use of ecosystem-based management in the Arctic</p> <p>Substantially expand the use of transdisciplinary approaches for understanding change and implementing strategies to enhance resilience</p> <p>Encourage consistent practices and for ensuring public participation and the integration of Indigenous/Traditional Knowledge and local knowledge in environmental impact assessments and other decision-making processes</p>	<p>Improve our understanding of best practices for resilient or "climate proof" investments in the Arctic</p> <p>Substantially increase private sector investments that support resilient communities</p> <p>Expand the use of innovative financial mechanisms for improving resilience</p> <p>Encourage the identification of specific funding gaps and resilience priorities, as a way to provide guidance to potential donors and catalyze new investments</p>
Guiding Principles			
<ul style="list-style-type: none"> <li>Build on the strengths of the Arctic Council as a regional mechanism for cooperation</li> <li>Value and draw on Indigenous/Traditional Knowledge and local knowledge</li> <li>Build upon existing global, regional and national strategies for sustainable development, climate change adaptation and mitigation, and disaster risk reduction</li> <li>Support multi-stakeholder engagement</li> <li>Empower local communities</li> <li>Address multiple risks together and look for co-benefits</li> <li>Consider risk and resilience across temporal and spatial scale</li> <li>Encourage innovative investments that prevent and proactively mitigate risk</li> <li>Monitor progress and adjust strategies as needed</li> </ul>			



Attachment E  
Joel Clement Form 11

# Arctic Resilience Action Framework

Cooperating for a More Resilient and Prosperous Arctic Region

May 2017

Summary: Resilience is a cross-cutting topic which has become increasingly important to the Arctic Council in the face of rapid changes. The Arctic Resilience Action Framework (ARAF) provides the Arctic Council with a common set of Guiding Principles and Priorities for Action<sup>1</sup>, as well as a platform to continue discussing priorities as they evolve. The ARAF can also guide Arctic stakeholders from academia, civil society, the private sector and others across the international community.

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<sup>1</sup> See Appendix A for an at-a-glance summary of the ARAF Guiding Principles and Priorities for Action.

# 1. Introduction

As global temperatures rise, populations grow and pressures on natural resources increase, the world faces exceptional new challenges that will require innovative solutions. These challenges are particularly prominent in the Arctic, where the rate of warming is significantly greater than that of the rest of the planet and is leading to immediate and profound impacts. At the same time, technological innovation offers new opportunities in the Arctic for capacity development and collaboration among countries and peoples.

At a broader systems-level, the rapid changes in the Arctic make any long-term planning and management increasingly difficult. Social and ecological systems in the Arctic are inextricably linked, more closely than most other regions of the world, and some aspects of these systems are changing fundamentally and surpassing thresholds which may be irreversible. Indigenous peoples of the Arctic have always adapted to environmental changes, but the current rate and intensity of climate change, combined with other social, environmental, economic and political shifts and constraints, make adaptation extremely challenging in today's Arctic. In addition to aggressively working to mitigate the causes of climate change, it is important for governments, Indigenous Peoples and local communities to work collaboratively to build resilience to the social-ecological changes that are already underway.

## Box 1: Resilience, Adaptation, and Social-Ecological Systems

**Resilience** is the ability of a system to bounce back and thrive during and after disturbances and shocks. **Climate Adaptation** is an adjustment in natural or human systems, in response to climate change, which is intended to minimize disruption or take advantage of opportunities. Implementing effective climate adaptation measures can build resilience, and actions fostering resilience can build the capacity to adapt. For this reason resilience and climate adaptation are closely linked and often described in commensurate terms.

A **social-ecological system** is an integrated system that includes human societies and ecosystems. Its structure is characterized by reciprocal feedbacks. In the Arctic, social and ecological systems are particularly linked. To understand changes in the Arctic and to identify and implement strategies for adaptation and resilience, it is important to consider the linked social-ecological system.

The Arctic Council, the region's preeminent intergovernmental forum, has taken steps to increase the understanding of the changing Arctic and to address those changes.<sup>2</sup> Arctic Council assessments such as the *Snow, Water, Ice and Permafrost* assessment, the *Arctic Biodiversity Assessment*, and the *Arctic Human Development Report II* have greatly added to our knowledge foundation about the physical, social, and ecological effects of climate change in the region. The *Adaptation Actions for a Changing Arctic* project is translating science into actionable knowledge to inform climate adaptation actions in three different regions of the Arctic, and the *Arctic Resilience Report* has identified potential "cliffs" or tipping points, assessed challenges to Arctic communities, and identified ways that the Arctic Council might contribute to strengthening resilience across the Arctic. All six of the Arctic Council Working Groups are implementing additional projects that contribute to the resilience of the region (*see appendix C for more details*).

These efforts to build resilience are extremely timely. Global momentum for addressing climate and other environmental changes and their linkages to human development has markedly increased in recent years, as demonstrated by the adoption of the Sendai Framework for Disaster Risk Reduction in March 2015, the adoption of the 2030 Agenda and its Sustainable Development Goals (SDGs) – several of which directly address building the resilience of vulnerable communities and ecosystems – in September 2015, and the Paris climate agreement of December 2015. In addition to national reporting on the agreements above, many international and regional bodies around the world are adopting frameworks and strategies to adapt to climate change and build resilience. In the Arctic, where the rate of warming is double that of the rest of the planet, such a coordinated, regional response to social, economic and environmental changes is timely, relevant and important. The Arctic Council, as the leading intergovernmental forum on issues of sustainable development and environmental protection in the region, is well-positioned to establish a framework that increases our understanding of risks and uncertainties, and supports and encourages measures to improve the resilience of threatened communities and ecosystems.

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<sup>2</sup> See Appendix B for a brief overview of the Arctic Council.

## 2. The Scope of the Arctic Resilience Action Framework

The **Arctic Resilience Action Framework (ARAF)** provides the Arctic Council with a set of Guiding Principles and Priorities for Action, as well as a platform to continue discussing priorities as they shift. These shared priorities can also guide and galvanize actions outside of the Arctic Council, bringing together other states, international groups, civil society and the private sector – all of which have an essential role to play in building Arctic resilience.

### Box 2: The Arctic Council's Recognition of the Importance of Resilience and Adaptation

The Arctic Council has increasingly emphasized the importance of resilience and adaptation in the region. In the Iqaluit Ministerial Declaration (2015), Ministers of the eight Arctic States, joined by the six Permanent Participant organizations of the Arctic Council, "Recognize that resilience and adaptation to climate change are critically important for Arctic communities."

The ARAF focuses on the resilience of Arctic states, Indigenous Peoples and communities, and the ecosystems upon which they depend, in the face of rapid social-ecological change. Implementing the Priorities for Action that are outlined in the ARAF will increase our understanding of Arctic change and potential risks and strengthen the adaptive capacity and overall resilience in the region. The ARAF is informed by the Arctic Resilience Report and other Arctic Council resources, existing national ambitions to build resilience and advance the SDGs outlined in the 2030 Agenda, and stakeholder consultations.

Through these priorities and actions, the ARAF aims to achieve the following outcome:

*A measurable increase in the capacity of Arctic States and Arctic communities to understand and respond to risks and changes in ways that support socio-economic development and healthy, functioning ecosystems and ecosystem services.*

This outcome will only be attained through the commitment of many Arctic stakeholders at all levels of implementation. To attain this outcome, the following Goal will be pursued:

*To mobilize and use the broad competence and expertise of all Arctic Council Member States, Permanent Participants, Working Group Secretariats and Observers, along with other Arctic stakeholders, to provide the information, tools, analysis and capacity necessary to address immediate and future resilience and adaptation needs in the circumpolar Arctic.*

A group of Arctic stakeholders engaged in collective learning and implementation will explore a set of options for monitoring and assessing progress towards the desired outcome. These options will align with other national-level methods and reporting structures, wherever feasible (See Section 5 – Implementation of the ARAF).

### 3. Guiding Principles

The implementation of the ARAF will be guided by the following principles, while remaining consistent with domestic laws as well as international obligations and ambitions, and taking into account national circumstances.

1. **Build on the strengths of the Arctic Council and its subsidiary bodies as a regional mechanism for cooperation.** Draw upon the diversity and commonalities among circumpolar countries, Arctic Indigenous Peoples, and communities to ensure the use of collaborative and participatory approaches.
2. **Value and draw on Indigenous/Traditional Knowledge and local knowledge.** Integrating Indigenous/Traditional Knowledge and local knowledge with knowledge and experience from interdisciplinary science and technical disciplines will create the strongest information foundation for building resilience, adapting to future change, and protecting natural and cultural resources.
3. **Build upon existing global, regional and national strategies for sustainable development, climate change adaptation and mitigation, emergency preparedness, and disaster risk reduction.** Pursue coherence across these policies, where appropriate, to align tools and metrics, foster partnerships, investments and innovations, and maximize impact.
4. **Support multi-stakeholder engagement.** Scientific and technical institutions, private sector institutions, and civil society are essential for achieving the goals of resilience. Inclusive approaches help to ensure that the skills, capacities, and unique needs of all people, including Indigenous Peoples, women, youth, and Elders, are considered. Indigenous Peoples, in particular, are at the heart of a sustainable Arctic and their inclusion in building Arctic resilience is crucial. Stakeholders beyond the Arctic should also be engaged as they impact the region in a multitude of ways and may be affected by changes in the Arctic region.
5. **Empower local communities.** Understanding risk and resilience from a community perspective facilitates locally appropriate actions and investments. Such an understanding requires improved education and social learning, and benefits from the empowerment of local authorities and communities through resources, incentives, and support for self-organization as appropriate. Such empowerment is enhanced by the recognition of Indigenous Peoples and other Arctic residents as co-producers of knowledge, in particular through community-based monitoring and locally- driven research.
6. **Address multiple risks and look for co-benefits.** Arctic communities and ecosystems face multiple hazards and stresses. Treating hazards and stresses in isolation can create new, unanticipated risk, but consideration of the interactions among risk factors creates opportunity to identify measures that deliver multiple co-benefits.

**7. Consider risk and resilience across temporal and spatial scales.** The development of resilience strategies and adaptation responses must consider both temporal and spatial scales; the consequences of decisions may take decades to emerge, and actions and development activities in one region, within or outside of the Arctic, may have negative impacts in other areas.

**8. Encourage innovative investments that prevent and proactively mitigate risk.** Public and private resilience investments should address the underlying risk factors instead of the impacts after they have occurred. Building resilience in advance of disruptions or shocks can protect lives, health and livelihoods; support economic development; protect cultural and environmental assets; and offer opportunities for future development.

**9. Monitor progress and adjust strategies as needed.** Vulnerability and risk in Arctic social-ecological systems are constantly shifting; this framework, as well as Arctic resilience and adaptation efforts more generally, must evolve as new information becomes available.



## 4. Priorities for Action

The ARAF has been organized around four key priorities derived from a review of existing global and regional strategies on climate change, disaster risk reduction and sustainable development; a review of existing Arctic Council strategies and assessments; and extensive consultations with Permanent Participant organizations, Arctic Council Member States, Observers, Working Groups and other stakeholders. The four priority areas are: i) Analyzing and Understanding Risk and Resilience in the Arctic; ii) Building Resilience and Adaptation Capacity; iii) Implementing Measures that Build Resilience through Policy, Planning and Cooperation; and iv Encouraging Investment to Reduce Risk and Build Resilience (see appendix A for a summary diagram).

Each of the four priorities includes a subset of Action Areas to further focus resilience efforts in the Arctic. It is likely that this initial list of Action Areas will evolve as challenges, needs, and opportunities change. The ARAF is a living document that shall be updated over time. In order to orient the reader, an example of an implementing action is described below each of the Action Areas; these are examples only – in most cases the Action Areas will require multiple suites of implementing actions.<sup>3</sup>

Addressing these priorities will require the expertise and cooperation of a wide range of stakeholders and knowledge systems. While the Arctic Council is well-positioned to coordinate regional resilience priorities and actions, effective implementation of the ARAF will also require partnership with policy makers at all levels, non-Arctic states, academia, civil society and the private sector at the national level, as well as engagement from other multilateral/international groups. Effective implementation also requires gender-responsive and gender-balanced approaches, and the participation of local and Indigenous Peoples.

### Priority area 1: Analyzing and Understanding Risk and Resilience in the Arctic

In recent years, scientific advancements have improved the world's understanding of the Arctic region. However, many information gaps about social and natural processes, and the interactions among them, still exist both within the Arctic region and between the Arctic region and global processes. As the Arctic changes, an improved understanding of risks and opportunities can help communities and governments make better decisions and more effectively enhance their resilience, especially in the face of uncertainty. Documenting and

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<sup>3</sup> It is important to note that the Arctic Council Working Groups are already implementing a range of initiatives related to the Action Areas (See Appendix C). Additional focus on these Action Areas by the Arctic Council and other stakeholders will more efficiently address the four Priority Areas that are outlined in this framework.

sharing adaptation experiences can help to identify and foster effective responses and best practices as the Arctic faces even more rapid change.

**Action Area 1.1:** Increase the effectiveness of existing monitoring systems and include social-ecological indicators and their interactions.

*Example implementing action:* Improve understanding of disease and injuries related to a changing environment.

**Action Area 1.2:** Substantially enhance our understanding of ecologically vulnerable areas and areas in which Arctic-adapted biodiversity can persist under a changing climate.

*Example implementing action:* Identify and map current and future plant and animal range shifts as Arctic systems transform.

**Action Area 1.3:** Improve short and long-term projections for the Arctic under different future greenhouse gas emission and development scenarios, using natural and social sciences and Indigenous/Traditional Knowledge and local knowledge.

*Example implementing action:* Develop sea level and coastal change projections for the Arctic under future greenhouse gas emission pathways, particularly in areas of frequent human use, and identify how these will impact social and ecological resilience and adaptation needs.

**Action Area 1.4:** Expand the documentation of adaptation responses to changing threats in the Arctic.

*Example implementing action:* Collect and add new case studies to existing repositories of adaptation and resilience measures for Arctic communities, economies and ecosystems. Promote methods to evaluate the effectiveness of these measures and disseminate information about these resources.

## Priority area 2: Building Resilience and Adaptation Capacity

Resilient communities have the internal capacity and flexibility to self-organize, but to successfully adapt to environmental and social challenges, Indigenous Peoples, local communities and individuals will require support from all levels of government. Encouraging processes that apply Indigenous/Traditional Knowledge and local knowledge, co-developing tools for self-assessment and decision-making, facilitating access and integration of scientific knowledge at the community level, and supporting the education and training of local leaders can all contribute to adaptive capacity and enhanced resilience to disruptive changes. Cross-border and circumpolar collaboration can further support resilience of desired local attributes and can collectively enhance regional resilience to disturbance and shocks.

**Action Area 2.1:** Increase the co-production of knowledge using science, Indigenous/Traditional Knowledge and local knowledge.

*Example implementing action:* Highlight and share case studies for the successful co-production of science and Indigenous/Traditional Knowledge and local knowledge in which all partners have been equitably involved and community participation has been encouraged. Case studies could highlight the incentives and enabling environment that led to co-production.

**Action Area 2.2:** Expand the ability of community-based observation networks to collect critical data for monitoring change and integrate with Earth observations.

*Example implementing action:* Expand and consolidate best practices for community-based observations.

**Action Area 2.3:** Improve tools for assessing management strategies in changing Arctic ecosystems.

*Example implementing action:* Develop tools that help resource managers understand how the fish, wildlife or land resources they manage relate to the resilience of the greater Arctic region.

**Action Area 2.4:** Ensure data and tools are equitably distributed and easily accessible for local communities, decision makers and policy makers at all levels.

*Example implementing action:* Actively implement open data policies by making data available in accordance with common standards and formats in a timely manner.

**Action Area 2.5:** Substantially increase the number of communities, youth and emerging leaders that understand Arctic change using a variety of knowledge approaches.

*Example implementing action:* Provide a resilience training platform and community of practice for Arctic leaders and expand opportunities for youth engagement in this platform over time.

**Action Area 2.6:** Increase administrative and planning support to communities, governments and decision-makers at all levels, including support for applying resilience knowledge to decision-making.

*Example implementing action:* Develop community-based resilience indicators that help communities make decisions in a timely manner with respect to erosion, inundations and storm surges.

### Priority area 3: Implementing Measures that Build Resilience through Policy, Planning and Cooperation

Sound planning and policy processes are essential for implementing measures that build resilience. To be effective, such processes require the engagement and cooperation of a range of stakeholders, especially local and Indigenous communities. These processes should also transcend disciplines and adopt holistic approaches that combine the natural sciences and the social sciences, and multiple knowledge systems.

Building resilience requires a diversity of approaches.

**Action Area 3.1:** Increase the inclusion of local perspectives in local and sub-regional decision-making. Example implementing action: Establish community-led planning groups to identify social and cultural priorities at the local scale.

**Action Area 3.2:** Enhance the development and deployment of resilient infrastructure, telecommunications, and technologies to deal with emerging challenges that are unique to the Arctic (e.g., waste, water security, energy, food security, health, etc.).

*Example implementing action:* Develop training platforms that will enhance innovation and enable the sharing of best practices for renewable energy technologies.

**Action Area 3.3:** Expand the use of ecosystem-based management in the Arctic.

*Example implementing action:* Identify – and develop measures to protect – areas of crucial importance for biodiversity and food security.

**Action Area 3.4:** Substantially expand the use of transdisciplinary approaches for understanding change and implementing strategies to enhance resilience.

*Example implementing action:* Support and showcase pilot programs that demonstrate the transdisciplinary approach to resilience – for example assessing the impact of health investments on adaptation capacity.

**Action Area 3.5:** Encourage consistent practices and for ensuring public participation and the integration of Indigenous/Traditional Knowledge and local knowledge in environmental impact assessments and other decision-making processes.

*Example implementing action:* Compare best practices across Arctic states for assessing the environmental and social impacts of resource development.

## Priority area 4: Encouraging Investment to Reduce Risk and Build Resilience

Arctic communities and ecosystems will face an increasing number of new risks over time. However, financial resources that enable effective planning and response to these risks have thus far been limited. Resilience investments can bring multiple benefits, including a reduction of risk to communities and ecosystems, more local jobs, increases in quality of life, and better return on investments. Arctic leaders need to explore new, innovative financial mechanisms in order to address near-term and long-term challenges associated with climate change and other drivers of change, and ensure that investments maintain and enhance the resilience of communities and ecosystem services whenever possible. This will require the cooperation of all levels of government as well as the private sector. Public-private partnership models are proven and effective in the Arctic and could be used to increase investments that build resilience.

**Action Area 4.1:** Improve our understanding of best practices for resilient and “climate proof”<sup>4</sup> investments in the Arctic.

*Example implementing action:* Assess existing funding streams in the Arctic, identify obstacles and barriers in applying them to resilience challenges, and identify examples of climate-proof investments.

**Action Area 4.2:** Substantially increase private sector investments that support resilient communities.

*Example implementing action:* Pilot a public-private resilience fund to facilitate private sector investment in economic development, ecosystem health, public safety and long-term resilience.

**Action Area 4.3:** Expand the use of innovative financial mechanisms for improving resilience.

*Example implementing action:* Analyze the use of existing financial mechanisms (e.g., catastrophe bonds, green bonds, climate risk bonds, loan guarantees, tax credits, land swaps, etc.) that reduce risk and build resilience in other regions, and assess the potential for application in the Arctic.

**Action Area 4.4:** Encourage the identification of specific funding gaps and resilience priorities, as a way to provide guidance to potential donors and catalyze new investments.

*Example implementing action:* Develop lists of resilience funding priorities for each Member State and Permanent Participant, and make the lists publicly available.

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<sup>4</sup> Climate proof investments refer to investments that have a minimized level of vulnerability to climate variability and climate change.

## 5. Implementation of the ARAF

Reflecting the cross-cutting nature of resilience, the Arctic Council Secretariat (ACS) will assist in the coordination of the implementation of the ARAF. This work will be conducted within the Sustainable Development Working Group, in coordination with other Working Group secretariats, and shall be reviewed by SAOs after two years. Working Group secretariats shall provide existing information on resilience-relevant WG activities to the ACS. The work will be organized by a lead State or States. During its initial period, Sweden and the United States will lead this work. The lead(s) shall report on this work to the SAOs via the SDWG. This work shall be conducted in accordance with the Arctic Council Rules of Procedure.

This work will consist of the three implementation elements of the ARAF: 1) collecting and tracking implementing actions; 2) providing tools for measuring progress; and 3) planning a resilience forum.

Each of the three main implementation elements is described below.

### **1. Collecting and tracking “Implementing Actions”**

The collection and consolidation of Implementing Actions is primarily a means of collectively assessing where work has taken place within the Arctic Council and of identifying opportunities for shared learning and cooperation. In order to compile this information, the lead(s), with the support of the ACS, will offer an opportunity to submit Implementing Actions. This work will be conducted in coordination with other Working Group secretariats. Working Group secretariats shall provide existing information on resilience-relevant WG activities to the ACS. The ACS will provide support to this process using existing resources and capacity. Each Action Area in Section IV provides an illustrative example of an Implementing Action.

To avoid duplication of effort, Implementing Actions may reflect existing commitments that have been made through national strategies, Working Group work plans or international agreements (e.g., the UN 2030 Agenda for Sustainable Development); in other words, there are many instances, such as with Working Groups, where there will be no need to provide any additional reporting – the commitments will have been expressed elsewhere in Arctic Council documents.

### **2. Tools for Measuring Progress**

As with the Implementing Actions described above, the methods for monitoring progress can, where feasible and appropriate, align with or complement existing reporting mechanisms. In addition to assessing the Implementing Actions, an inventory will be completed of existing and emerging measurement protocols – including self-assessment protocols – as well as existing and emerging indicators in advance of the first Resilience Forum (described below). These

protocols and indicators may help measure and compare progress over space and time. Progress and gaps identified will guide further revision of the ARAF as needed and appropriate.

### **3. Planning a Resilience Forum**

To build an active community of practice and encourage cooperation and shared learning, a circumpolar resilience forum will be held by Finland in 2018. The forum will convene local, sub-regional, and regional Arctic resilience practitioners and experts to a) assess progress toward the ARAF outcome and priorities, b) showcase best practices and resilience learning, c) identify and plan for emerging or urgent priorities, d) encourage public/private resilience investment opportunities, and e) identify opportunities or needs to update the ARAF Priority Areas and Action Items.

Following the forum, a brief report that summarizes the key findings of the forum and proposes revisions, updates or additions to the ARAF will be produced. The report will be passed to the SAOs via SDWG, for the SAO's information and consideration for updating the ARAF.

#### **Timeline for Implementation (May 2017 - May 2019): Initial Milestones**

June 2017

- The lead(s), with the support of the ACS, will work with the participants and in coordination with other Working Group secretariats to collect "Implementing Actions" for 2017-2019.
- The lead(s) will invite other interested stakeholders to submit Implementing Actions.

Fall 2018 (Date TBD)

- The first Arctic Resilience Forum will be held in Finland.

## 6. Conclusion

The ARAF is a collaborative tool for enhancing our understanding and building resilience to disruptive changes in the Arctic. In addition to providing guidance and a clear focus on shared priorities, it will facilitate the sharing of Arctic-specific resilience data and information, and therefore increase our global understanding of risk and opportunity. This is an extraordinary moment for the people and leaders of the Arctic, an opportunity to integrate northern perspectives into global deliberations while at the same time addressing clear and immediate resilience and adaptation needs. The ARAF will evolve over time as circumstances and opportunities change, but the influence and global role of Arctic peoples will steadily increase as global and local efforts align to enhance Arctic resilience.



# Appendix A: Arctic Resilience Action Framework at a Glance

Outcome		Goal	
A measurable increase in the capacity of Arctic States and Arctic communities to understand and respond to risks and changes in ways that support social-ecological development and healthy, functioning ecosystems and ecosystem services.		To mobilize and use the broad competence and expertise of all Arctic Council Member States, Permanent Participants, Working Group secretariats and Observers, along with other Arctic stakeholders, to provide the information, tools, analysis, and capacity necessary to address immediate and future resilience and adaptation needs in the circumpolar Arctic.	
Priority Area 1: Analyzing and Understanding Risk and Resilience in the Arctic	Priority Area 2: Building Resilience and Adaptation Capacity	Priority Area 3: Implementing Measures that Build Resilience with Policy, Planning and Cooperation	Priority Area 4: Encouraging Investment to Reduce Risk and Build Resilience
<p>Increase the effectiveness of existing monitoring systems and include social-ecological indicators and their interactions</p> <p>Substantially enhance our understanding of ecologically vulnerable areas and areas in which Arctic-adapted biodiversity can persist under a changing climate</p> <p>Improve short and long-term projections for the Arctic under different future greenhouse gas emission and development scenarios using natural and social sciences and indigenous/Traditional Knowledge and local knowledge</p> <p>Expand the documentation of adaptation responses to changing threats in the Arctic</p>	<p>Increase the co-production of knowledge using science, Indigenous/Traditional Knowledge and local knowledge</p> <p>Expand the ability of community-based observation networks to collect critical data for monitoring change and integrate with Earth observations</p> <p>Improve tools for assessing management strategies in changing Arctic ecosystems</p> <p>Ensure data and tools are equitably distributed and easily accessible for local communities, decision makers, and policy makers at all levels</p> <p>Substantially increase the number of communities, youth and emerging leaders that understand Arctic change using a variety of knowledge approaches</p> <p>Increase administrative and planning support to communities, governments and decision-makers at all levels, including support for applying resilience knowledge to decision-making</p>	<p>Increase the inclusion of local perspectives in local and sub-regional decision-making</p> <p>Enhance the development and deployment of resilient infrastructure, telecommunications, and technologies to deal with emerging challenges that are unique to the Arctic (e.g., waste, water security, energy, food security, health, etc.)</p> <p>Expand the use of ecosystem-based management in the Arctic</p> <p>Substantially expand the use of interdisciplinary approaches for understanding change and implementing strategies to enhance resilience</p> <p>Encourage consistent practices and for ensuring public participation and the integration of Indigenous/Traditional Knowledge and local knowledge in environmental impact assessments and other decision-making processes</p>	<p>Improve our understanding of best practices for resilient or "climate proof" investments in the Arctic</p> <p>Substantially increase private sector investments that support resilient communities</p> <p>Expand the use of innovative financial mechanisms for improving resilience</p> <p>Encourage the identification of specific funding gaps and resilience priorities, as a way to provide guidance to potential donors and catalyze new investments</p>
Guiding Principles			
<ul style="list-style-type: none"> <li>• Build on the strengths of the Arctic Council as a regional mechanism for cooperation</li> <li>• Value and draw on Indigenous/Traditional Knowledge and local knowledge</li> <li>• Build upon existing global, regional and national strategies for sustainable development, climate change adaptation and mitigation, and disaster risk reduction</li> <li>• Support multi-stakeholder engagement</li> </ul>			
<ul style="list-style-type: none"> <li>• Empower local communities</li> <li>• Address multiple risks together and look for co-benefits</li> <li>• Consider risk and resilience across temporal and spatial scale</li> <li>• Encourage innovative investments that prevent and proactively mitigate risk</li> <li>• Monitor progress and adjust strategies as needed</li> </ul>			

## Appendix B: The Arctic Council at a Glance

The Arctic Council is the leading intergovernmental forum promoting cooperation, coordination and interaction among the Arctic States, Arctic Indigenous Peoples and other Arctic inhabitants on common Arctic issues. In particular, the Arctic Council cooperates on issues of sustainable development and environmental protection in the Arctic.

The Arctic Council was established in 1996 through the Ottawa Declaration, which designates the following as Member States: **Canada, the Kingdom of Denmark, Finland, Iceland, Norway, the Russian Federation, Sweden and the United States**. Chairmanship of the Arctic Council rotates every two years among these eight Member States. Each Member State has a designated Senior Arctic Official, or primary representative, for day-to-day operations within the Arctic Council.

In addition to Member States, there are six Arctic indigenous peoples' organizations, or Permanent Participants, of the Arctic Council, which have full consultation rights with respect to Arctic Council negotiations and decisions. Permanent Participants include: **the Aleut International Association, the Arctic Athabaskan Council, Gwich'in Council International, the Inuit Circumpolar Council, Russian Association of Indigenous Peoples of the North and the Saami Council**.

The work of the Arctic Council is primarily carried out by six Working Groups.

- **The Arctic Contaminants Action Program (ACAP)** acts as a strengthening and supporting mechanism to encourage national actions to reduce emissions and other releases of pollutants.
- **The Arctic Monitoring and Assessment Programme (AMAP)** monitors the Arctic environment, ecosystems and human populations, and provides scientific advice to support governments as they tackle pollution and adverse effects of climate change.
- **The Conservation of Arctic Flora and Fauna Working Group (CAFF)** addresses the conservation of Arctic biodiversity, working to ensure the sustainability of the Arctic's living resources.
- **The Emergency Prevention, Preparedness and Response Working Group (EPPR)** works to protect the Arctic environment from the threat or impact of an accidental release of pollutants or radionuclides.
- **The Protection of the Arctic Marine Environment (PAME)** Working Group is the focal point of the Arctic Council's activities related to the protection and sustainable use of the Arctic marine environment.
- **The Sustainable Development Working Group (SDWG)** works to advance sustainable development in the Arctic and to improve the conditions of Arctic communities as a whole.

In addition to the Working Groups, temporary Task Forces and Expert Groups are sometimes created to work on a specific issue for a limited period of time. Recent examples include the Expert Group on Ecosystem-Based Management and the Task Force for Enhancing Scientific Cooperation in the Arctic.

Many non-Arctic states and inter-governmental or non-governmental organizations participate in the Arctic Council as Observers. They are invited to observe the work of the Arctic Council and are sometimes invited to make relevant contributions, primarily through engagement at the level of the Working Group.

# Appendix C: Working Group Objectives and Initiatives that May Build Resilience

The following is a list of current and planned Arctic Council Working Group initiatives that could support ecosystem or community resilience. These initiatives have been divided into three broader categories of resilience “needs”: Capacity Building; Research and Innovation; and Improved Decision-Making, Management, and Implementation. These three “needs” categories were used to frame discussions during the Arctic Council Resilience Workshop on March 14, 2016 in Fairbanks, Alaska, USA. Initiatives have been drawn from the six Working Groups’ 2015-2017 work plans and the Actions for Arctic Biodiversity 2013-2021: Implementing the recommendations of the Arctic Biodiversity Assessment. Additional actions from the Arctic Marine Strategic Plan are also listed<sup>5</sup>.

## 1. ACAP

### Working Group Objectives

To prevent adverse effects, reduce and ultimately eliminate pollution of the Arctic Environment<sup>6</sup>

### Current or Planned Initiatives

#### Capacity Building

- Expand the coverage of an existing monitoring tool, the Local Environmental Observer (LEO) network that links traditional knowledge and science, across the Arctic to create a Circumpolar Local Environmental Observer (CLEO) network. During Phase I of the project, ACAP will create at least one new North America chapter of the CLEO, including indigenous communities in the Alaskan and Canadian Arctic, and will develop a framework for expansion of the CLEO to the Nordic and Russian regions (ACAP 2015-2017 Work Plan<sup>7</sup>)
- Assess and develop community-level tools for black carbon reduction in indigenous communities, to mitigate health and environmental effects from black carbon sources (in Russian and Saami communities) (ACAP 2015-2017 Work Plan)

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<sup>5</sup> See Sub-Appendix for initiatives referenced in the Arctic Marine Strategic Plan

<sup>6</sup> From Arctic Council Action Plan to Eliminate Pollution of the Arctic, 2000. [https://oaarchive.arctic-council.org/bitstream/handle/11374/429/ACSAO-US03\\_6\\_ACAP.pdf?sequence=1&isAllowed=y](https://oaarchive.arctic-council.org/bitstream/handle/11374/429/ACSAO-US03_6_ACAP.pdf?sequence=1&isAllowed=y)

<sup>7</sup> ACAP Work Plan: ACAP Draft SAO Report to Ministers Including Work Plan 2015-2017. [https://oaarchive.arctic-council.org/bitstream/handle/11374/1437/ACAP\\_WORKPLAN\\_Doc1\\_Draft\\_submission\\_to\\_SAO\\_Report\\_including\\_work\\_plan\\_AC\\_SAO\\_CA04.pdf?sequence=1&isAllowed=y](https://oaarchive.arctic-council.org/bitstream/handle/11374/1437/ACAP_WORKPLAN_Doc1_Draft_submission_to_SAO_Report_including_work_plan_AC_SAO_CA04.pdf?sequence=1&isAllowed=y)

- Organize a conference on best practices on contaminant reduction in indigenous communities (Actions for Arctic Biodiversity 2013-2021<sup>8</sup>)

### **Improved Decision-Making, Management, and Implementation**

- Demonstrate environmentally sound clean-up of an old pesticide storage site/burial site, including destruction of the hazardous waste (ACAP 2015-2017 Work Plan)
- Reduce diesel black carbon emissions through implementation of a range of alternatives, including use of renewable fuel, for providing energy upgrades to offgrid Cluster settlements in Valday, Karelia (ACAP 2015-2017 Work Plan)
- Identify, further develop and apply pollution reduction technologies at a non-ferrous/zinc smelter in Russia and implement related monitoring (ACAP 2015-2017 Work Plan)
- Assess contamination of three old pesticides storages/burial sites using a Rapid Environmental Assessment to assess the risk to local population and the Arctic Environment (ACAP 2015-2017 Work Plan)
- Assess technologies for environmentally sound destruction of obsolete pesticides in northern Russia (ACAP 2015-2017 Work Plan)
- Follow up projects that reduce black carbon, including transport and diesel generator sectors; the Arctic Case Studies Platform; and convening a conference on best practices on contaminant reduction in indigenous communities (Actions for Arctic Biodiversity 2013-2021)

## **2. AMAP**

### **Working Group Objectives:**

1. Assessments: Produce scientific assessments and products from which strong science based policy recommendations can be made; Identify gaps and key questions that are needed for the best possible assessment of cumulative environmental stressors, their causes, and impacts on ecosystems and people
2. Communications and Outreach: Develop a closer cooperation with other AC Working Groups, PPs, governments, observers, educational institutions, media, and other organizations; effectively communicate the results of AMAP activities
3. Monitoring: Sustained, robust circumpolar monitoring network effective at detecting changes and discerning trends; develop and maintain circumpolar monitoring guidelines

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<sup>8</sup> Actions for Arctic Biodiversity 2013-2021. <http://www.caff.is/administrative-series/293-actions-for-arctic-biodiversity-2013-2021-implementing-the-recommendations-of-th/download>

for standardized collection of data and analysis; work with and support community-based monitoring<sup>9</sup>

## Current or Planned Initiatives

### Research and Innovation

- Update the 2011 Snow, Water, Ice and Permafrost (SWIPA) assessment, using updated climate change scenarios and more refined models, and develop the Arctic Freshwater Synthesis (this component of the SWIPA update will prepare the first overall budget of freshwater resources in the Arctic and a synthesis of the current status) (AMAP 2015-2017 Work Plan<sup>10</sup>)
- Update the 2011 Arctic Ocean Acidification Assessment, which will “inform policy development concerning sustainable marine resources and food security” (AMAP 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Prepare three regional assessments with information to assist local decision-makers and stakeholders to develop adaptation tools and strategies to deal with climate change and other environmental stressors and produce an overall integrated report on adaptation actions (AACA Part C) (AMAP 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Develop ecosystem models that project ecosystem response to climate change and contaminant-related factors (as part of AACA-C) (Actions for Arctic Biodiversity 2013-2021)
- Provide information for assessment of contaminant level trends in ecosystems, and their biological effects, and improve predictive capacity (ongoing with CAFF) (AMAP 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Prepare an updated assessment of persistent organic pollutants, including chemicals of emerging Arctic concern, biological effects, and the influence of climate change on POPs (AMAP 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)

## 3. CAFF

### Working Group Objectives

1. To enhance efforts to monitor Arctic biodiversity, especially which are of great ecological, cultural, social, economic or scientific value
2. Support and implement measures for the conservation of Arctic genetic resources, species, and their habitats

<sup>9</sup> From AMAP Strategic Framework, 2010-2018. [www.amap.no/documents/download/242](http://www.amap.no/documents/download/242)

<sup>10</sup> AMAP Work Plan: 2015-2017 <https://oaarchive.arctic-council.org/handle/11374/1443>

3. Establish protected areas in the Arctic region where they contribute to the conservation of ecosystems, habitats, and species
4. Manage activities outside protected areas in order to ensure the conservation of biodiversity
5. Enhance integration of biodiversity conservation and sustainable use objectives into sectoral and cross-sectoral plans and policies<sup>11</sup>

## Current or Planned Initiatives

### Capacity Building

- Enhance biodiversity monitoring and increasingly incorporate traditional and local knowledge, through the Circumpolar Biodiversity Monitoring Program (CBMP) (CAFF 2015-2017 Work Plan<sup>12</sup> and Actions for Arctic Biodiversity 2013-2021)
- Develop a Pan-Arctic Digital Elevation Map, in order to improve access to Arctic topographical information to facilitate monitoring and assessment activities and to inform decisions on development, land management and scientific analyses (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Develop educational tool-kits for school children (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Increase engagement of youth and early career scientists in the activities of CAFF to train the next generation of conservation leaders (Actions for Arctic Biodiversity 2013-2021)
- Complete the circumpolar boreal vegetation map (Actions for Arctic Biodiversity 2013-2021)
- Further develop community-based monitoring as a tool to aid in tracking populations, harvest and harvest management (Actions for Arctic Biodiversity 2013-2021)
- Advance and sustain the Arctic Biodiversity Data Service (ABDS) to facilitate access, integration, analysis and display of biodiversity information to understand, conserve and manage the Arctic's wildlife ecosystems. (Actions for Arctic Biodiversity 2013-2021)
- Develop and apply standards of the Arctic Spatial Data Infrastructure and further develop use of remote sensing as a tool for better information decisions and more efficient administration of the Arctic (Actions for Arctic Biodiversity 2013-2021)
- Convene, and report the results of the second Arctic Biodiversity Congress to promote the conservation and sustainable use of Arctic biodiversity focusing on the results of the CBMP state of the Arctic biodiversity reports, progress on implementation of ABA

<sup>11</sup> From The Strategic Plan for the conservation of Arctic Biological Diversity (1997). <https://oaarchive.arctic-council.org/handle/11374/164>

<sup>12</sup> CAFF Work Plan: 2015-2017. <https://oaarchive.arctic-council.org/handle/11374/398>

recommendations, and attainment of Aichi Targets (Actions for Arctic Biodiversity 2013-2021)

- Promote the active involvement of indigenous peoples in the management and sustainable use of protected areas (Actions for Arctic Biodiversity 2013-2021)
- Develop tools to raise awareness of Arctic biodiversity, and the multiple challenges it faces, and create publications, articles, films, social media, media campaigns and educational kits (Actions for Arctic Biodiversity 2013-2021)

### **Research and Innovation**

- Contribute to a pan-Arctic MPA network: 1) Map areas of high species abundance and unique Arctic diversity; 2) Analyze existing Arctic marine protected areas to identify gaps and priorities including the most climate-change resilient Arctic areas, connectivity gaps and missing buffer zones (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- The Salmon River Peoples' Project will look at trends of salmon in three rivers of the circumpolar Arctic to advance understanding of the importance of freshwater fish to food security for indigenous people using a co-production of knowledge approach (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Improve our understanding of climate change vulnerabilities and impacts on sea-ice associated biodiversity (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Complete the Economics of Ecosystems and Biodiversity (TEEB) Scoping Study (which could lead to further recommendations) (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Follow-up as appropriate on the TEEB approach to evaluate the benefits people receive from Arctic biodiversity (Actions for Arctic Biodiversity 2013-2021)
- Explore the possibility of developing a case study on walrus to demonstrate Inuit food security and ecosystem approach (Actions for Arctic Biodiversity 2013-2021)
- Identify species that could benefit from range-wide adaptive management strategies (2015-2017 and ongoing) (Actions for Arctic Biodiversity 2013-2021)
- Incorporate common protocols for early detection and reporting of non-native invasive species in the Arctic into CBMP monitoring plans (Actions for Arctic Biodiversity 2013-2021)
- Report on changes in Arctic species, ecosystems, and the effects of stressors through state of Arctic biodiversity (Marine, Freshwater, Terrestrial, Coastal) reports (Actions for Arctic Biodiversity 2013-2021)
- Prepare a report on traditional knowledge on biodiversity change in the North American Arctic (Actions for Arctic Biodiversity 2013-2021)



- Develop the community observation network for adaptation and security (CONAS) to increase the contribution of community-based monitoring and knowledge from Arctic peoples to existing knowledge (Actions for Arctic Biodiversity 2013-2021)
- Analyze the state of knowledge and data on cumulative effects and identify priorities, adding the biotic parameters to abiotic work (Actions for Arctic Biodiversity 2013-2021)
- Continue to develop and report on key robust indicators of Arctic biodiversity, in particular ones that can be used to track and understand cumulative effects, e.g. Arctic Species Trend Index, Land Cover Change Index, etc. (Actions for Arctic Biodiversity 2013-2021)
- Improve data and assessments on populations, harvest and harvest management, including both traditional knowledge and science, as foundation for harvest management (e.g., Arctic Geese) (Actions for Arctic Biodiversity 2013-2021)

#### **Improved Decision-Making, Management, and Implementation**

- Develop a circumpolar strategy for the prevention and management of invasive species (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Promote the implementation of ecosystem-based management approaches (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Encourage the mainstreaming of biodiversity by developing a set of principles on incorporating biodiversity objectives and safeguards into Arctic Council work (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Assess, monitor, and develop conservation plans for Arctic seabirds (CAFF 2015-2017 Work Plan)
- Develop the Circumpolar Vegetation Map, red-list for Arctic plants, moss and lichen check lists (CAFF 2015-2017 Work Plan)
- Through the Arctic Migratory Bird Initiative (AMBI), coordinate the implementation of work plans in different flyways (CAFF 2015-2017 Work Plan and Actions for Arctic Biodiversity 2013-2021)
- Broker commitments by non-Arctic countries to safeguarding important Arctic migratory bird habitats outside of the Arctic (part of the AMBI) (Actions for Arctic Biodiversity 2013-2021)
- Develop options for safeguarding marine and terrestrial refuge areas (Actions for Arctic Biodiversity 2013-2021)
- Continue implementation of existing species conservation strategies (Black-legged Kittiwakes, caribou) (ongoing) (Actions for Arctic Biodiversity 2013-2021)
- Develop range-wide adaptive management strategies for harvested species (2017-2019) (Actions for Arctic Biodiversity 2013-2021)
- Identify management actions that will enhance the resilience of species in adapting to rapid change (2017-2019) (Actions for Arctic Biodiversity 2013-2021)

- Identify species that could benefit from, but are not covered by, range-wide adaptive management strategies and follow-up as appropriate and develop range-wide adaptive management strategies for those harvested species (Actions for Arctic Biodiversity 2013-2021)

## 4. EPPR

### Working Group Objectives

To deal with the prevention, preparedness and response to environmental emergencies in the Arctic. EPPR is not an operational response organization. Its goal is to contribute to the protection of the Arctic environment from the threat or impact from an accidental release of pollutants or radionuclides. In addition, EPPR considers questions related to the consequences of natural disasters.<sup>13</sup>

### Current or Planned Initiatives

#### Capacity Building

- Develop a stand-alone, searchable database of major Arctic response assets (both government and industry owned), which will be linked to the Arctic Environmental Response Management Application (ERMA) (EPPR 2015-2017 Work Plan)<sup>14</sup>
- Develop "Prevention, Preparedness and Response for Small Communities" implementation strategy, which engages communities in a self-assessment of their preparedness for oil spill response, as well as risk and impact. The outcomes from the project will be: (1) greater awareness of risk and preparedness at a local level, and access to best practices, (2) the ability for national governments to address misperception or lack of awareness, and (3) the identification of gaps in preparedness relative to risk (EPPR 2015-2017 Work Plan)
- Conduct second functional table top exercise of the MOSPA Agreement in June 2016. The table top exercise will result in the After Action Report, which will provide background for the next exercise planning cycle. Establish the 2017-2019 Exercise Design Team that will lead and prepare the next exercise under the Finnish Chairmanship (EPPR 2015-2017 Work Plan)
- Member States will provide datasets to the Arctic ERMA (Environmental Response and Mapping Application) mapping tool (EPPR 2015-2017 Work Plan)

<sup>13</sup> From EPPR Strategic Plan (Working Document – Draft) (2015). [http://arctic-council.org/eppr/wp-content/uploads/2015/06/2015\\_11\\_09\\_EPPR\\_Strategic\\_Plan\\_draft\\_posted.pdf](http://arctic-council.org/eppr/wp-content/uploads/2015/06/2015_11_09_EPPR_Strategic_Plan_draft_posted.pdf)

<sup>14</sup> EPPR Working Group Meeting: Drawn from 2- Page highlights to SAO chair – EPPR II Working Group Meeting. [http://www.arctic-council.org/eppr/wp-content/uploads/2014/10/Two-pager\\_EPPR\\_Meeting\\_Dec\\_2014\\_Final1.pdf](http://www.arctic-council.org/eppr/wp-content/uploads/2014/10/Two-pager_EPPR_Meeting_Dec_2014_Final1.pdf)

- Update the Field Guide for Oil Spill Response in Arctic Waters: The updated Field Guide will include the addition of new sections on “Health and Human Safety in the Arctic”, “Wildlife Response in the Arctic”, and “Logistics and Response Strategies in the Arctic”. Improvements will include, (1) updated information in a useful tactics-focused document, (2) complement the recent strategy-focused 2015 EPPR “Guide to Oil Spill Response in Snow and Ice Conditions in the Arctic”, (3) restructure some sections to reduce the size of the document and provide a logical flow to the material, and (4) improve the “friendliness” of the document by adding a “User Guide” at the beginning as part of the Preface or Introduction (Arctic Council Website)

### **Research and Innovation**

- Develop Oil Spill Circumpolar Response Viability Analysis: Estimate how often different types of response systems can be effectively deployed in different areas of the Arctic based on historical metocean conditions (EPPR 2015-2017 Work Plan)

## **5. PAME**

### **Working Group Objective**

To address policy and non-emergency pollution prevention and control measures related to the protection of the Arctic marine and coastal environment from both land and sea-based activities. These measures include coordinated strategic plans as well as developing programs, assessments and guidelines, intended to complement or supplement efforts and existing arrangements for the sustainable development of the Arctic marine environment.<sup>15</sup>

The four strategic goals of the Arctic Marine Strategic Plan provide the structural framework of PAME’s work.

1. Improve knowledge of the Arctic marine environment, and continue to monitor and assess current and future impacts on Arctic marine ecosystems.
2. Conserve and protect ecosystem function and marine biodiversity to enhance resilience and the provision of ecosystem services.
3. Promote safe and sustainable use of the marine environment, taking into account cumulative environmental impacts.
4. Enhance the economic, social and cultural well-being of Arctic inhabitants, including Arctic indigenous peoples and strengthen their capacity to adapt to changes in the Arctic marine environment.

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<sup>15</sup> From PAME Website. <http://www.pame.is/Index.php/shortcode/about-us>

## Current or Planned Initiatives

### Capacity Building

- Create a guidebook that will enable communities to independently map their interactions with the marine environment. To test and better refine the guidebook, a mapping project will be conducted using the draft guidebook in three communities (PAME Work Plan 2015-2017<sup>16</sup>)
- Follow-up to the Arctic Marine Shipping Assessment (2009) to include the following activities (PAME 2015-2017 Work Plan):
  - Continue to monitor and, as appropriate, identify opportunities to engage and collaborate with international organizations on issues of common interest to advance implementation of the AMSA Recommendations and other Arctic Council-related Shipping Recommendations (e.g. AOR Final Report Recommendations)
  - Continue to promote collaboration among Arctic states as they implement the Polar Code
  - Develop a compendium of case study information on maritime incidents in the Arctic that resulted in a spill or release of HFO and the environmental impact thereof
  - Potential follow-up to the Arctic Marine Tourism Plan to include producing site-specific guidance templates or compiling a publicly available repository on Arctic tourism
  - Provide regular updates and status provided on infrastructure aspects such as the IMO's GISIS Port Reception Facility database
  - Continue to pursue opportunities and develop the Arctic shipping Traffic Data (ASTD) project where the objective is to develop a long-term, sustainable collection of Arctic shipping information consisting of a repository with selected ship traffic data provided by Arctic Council Member States and a web application/tool to extract information from the repository, allowing for trend analysis and other related uses, allowing the Arctic Council Member States and the Arctic Council subsidiary bodies to facilitate trend analyses on ship traffic in the Arctic
  - Develop AMSA Shipping Progress Implementation Report for submission to the Arctic Council Ministerial meeting in 2017. This report should also address work pursuant to other Arctic Council shipping mandates and recommendations
- Continue the development of a cross-cutting oil & gas, shipping and MPA project on *Meaningful Engagement of Indigenous Peoples and Local Communities in Marine Activities* with the aim to prepare a narrative report of information on existing

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<sup>16</sup> PAME Work Plan: 2015-2017.

[http://www.pame.is/Images/01\\_PAME/Work\\_Plan/PAME%20Work%20Plan%202015-2017.pdf](http://www.pame.is/Images/01_PAME/Work_Plan/PAME%20Work%20Plan%202015-2017.pdf)

mechanisms, including legal mandates, declarations, guidelines, recommendations and best practices developed by the Arctic Council, its member governments, States, international and regional bodies, industry and other stakeholders, for engagement by indigenous peoples and local communities in Arctic marine activities (PAME Work Plan 2015-2017)

- Continue to develop tools to raise awareness of the Arctic Marine Environment and the multiple challenges it faces through the AMSP Implementation Plan and the AMSP Communication Plan
- Enhance work on a Pan-Arctic Network of Marine Protected Areas (MPAs)
- Liaise and exchange information with relevant organizations and programs (e.g. UNEP Regional Seas Programme) regions, OSPAR, and other regional programs) (PAME 2015-2017 Work Plan)

#### **Research and Innovation**

- Enhance a Marine Protected Areas (MPA) Network (2015) through stakeholder engagement, inventory mapping of existing MPAs, and a desktop study on area-based conservation measures and its linkages to categories of Arctic Biodiversity (PAME 2015-2017 Work Plan and Arctic Marine Strategic Plan 2015-2025)
- Improve data on shipping in the Arctic through the Arctic Ship Traffic Data project (PAME 2015-2017 Work Plan and Arctic Marine Strategic Plan 2015-2025)
- Continue reporting on status of implementation on the AMSA 2009 Recommendations (PAME 2015-2017 Work Plan)
- Continue to develop a community of practice within the framework of Ecosystem Approach to Management (EA) (PAME 2015-2017 Work Plan)

#### **Improved Decision-Making, Management, and Implementation**

- Continue ongoing activities of the joint Ecosystem-Approach (EA) Expert Group: contribute to the development of ecological objectives, follow up actions on integrated ecosystem assessments, continue fostering implementation of EA in the Arctic (August 2016 International Conference), consider issues of scale in EA, and support a community of practice working to implement EA (PAME 2015-2017 Work Plan, Joint EA Expert Group ToR and Arctic Marine Strategic Plan 2015-2025)
- Continue to monitor and, as appropriate, identify opportunities to engage and collaborate with international organizations on issues of common interest to advance implementation of the AMSA Recommendations and other Arctic Council-related Shipping Recommendations (e.g. AOR Final Report Recommendations)
- Promote collaboration among Arctic states as they implement the Polar Code (PAME 2015-2017 Work Plan)

- Develop a circumpolar strategy for the prevention and management of invasive species (with CAFF) (PAME 2015-2017 Work Plan, AMSA 2009, AOR Final Report (2013) and Arctic Marine Strategic Plan 2015-2025)
- Develop an Arctic Regional Reception Facilities Plan as a long-term solution to help meet the challenges posed by increased shipping activity (the aim is for environmentally sound management of ship waste) (PAME 2015-2017 Work Plan)
- Continue selected Updates of the 2009 Arctic Offshore Oil and Gas Guidelines (AOOGG 2009) and develop concept papers on in this regard such as updating non-emergency operating practices and environmental monitoring sections of the AOOGG (2009) (PAME 2015-2017 Work Plan)
- Strengthen communication and collaboration with EPPR and external bodies such as the Arctic Offshore Oil and Gas Regulators Forum, OSPAR and Oil and Gas Producers International on non-emergency operating practices and environmental monitoring
- Continue the development and reporting on the Tracking Matrix for the recommendations of the 2014 "Arctic Offshore Oil and Gas Guidelines Systems Safety Management and Safety Culture Report: Avoiding Major Disasters in Arctic Offshore Oil and Gas Operations"
- Continue the work in the ICES Working Group on Integrated Ecosystem Assessment for the Central Arctic Ocean (WGICA)
- Strengthen collaboration with other Arctic Council working groups by review their respective work plans to identify areas for cooperation and respond accordingly

## 6. SDWG

### Working Group Objectives

To propose and adopt steps to be taken by the Arctic States to advance sustainable development in the Arctic. This includes pursuing opportunities to protect and enhance the environment and the economies, culture and health of indigenous peoples and Arctic communities. The guiding tenet is to pursue initiatives that provide practical knowledge and contribute to the capacity of indigenous peoples and Arctic communities to respond to the challenges and benefits from the opportunities in the Arctic region.<sup>17</sup>

### Current or Planned Initiatives

#### Capacity Building

- Continue supporting the Arctic Adaptation Exchange Portal (AAEP), in association with the University of Alaska Fairbanks. To the extent possible, Member States will build on

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<sup>17</sup> From SDWG website. <http://www.sdwg.org/about-us/mandate-and-work-plan/>

their open data policies to consolidate and facilitate access to their respective climate-related Arctic datasets, and link this data to the Arctic Adaptation Exchange Portal (SDWG 2015-2017 Work Plan<sup>18</sup>)

- Create common metrics for evaluating suicide prevention efforts through the Arctic RISING SUN program, in order to aid health workers and policy makers measure progress and identify challenges (SDWG 2015-2017 Work Plan)
- Through the EALLU project, raise awareness of climate change among indigenous youth and document traditional knowledge about food cultures of reindeer herding indigenous peoples (SDWG 2015-2017 Work Plan)
- The Gender Equality in the Arctic project promotes and expands the dialogue on Gender Equality in the Arctic region, building on previous SDWG projects, initiatives and conferences (SDWG Website)

#### **Research and Innovation**

- Networks Academy (ARENA) addresses the need for the development of community energy experts to ensure affordable, reliable, renewable source energy solutions for Arctic communities. It integrates web-based seminars with classroom learning and field exposure (SDWG Website)
- The online Arctic Renewable Energy Atlas (AREA) is intended to contribute to sustainable development and healthy, resilient communities in the Arctic, by providing energy resources maps that allow easy visualization of localized supply and demand and encourage clean energy prospecting and investment (SDWG Website)
- Arctic Energy Summit is a forum to share information that can lead to innovative practices in renewable energy (SDWG 2015-2017 Work Plan)
- The WASH project, Improving Health through Safe and Affordable Access to Household Running Water and Sewer (WASH), focuses on water-related health challenges and innovation in Arctic and Sub-Arctic communities (SDWG Website). Convene workshop to facilitate collaboration between researchers, engineers, manufacturers, vendors and health experts on measures to increase access to and reduce the operating costs of in-home running water and sewer in remote communities, attract investment, improve public health, and spur public-private partnerships (SDWG 2015-2017 Work Plan). The third Economy of the North (ECONORIII) project will give a statistical overview of economic, social conditions, and environmental change, through the contribution of national statistics agencies (SDWG 2015-2017 Work Plan)
- The Arctic as a Food Producing Region project will assess the potential for increased production and added value of food from the Arctic and will identify important factors for developing the Arctic as a food-producing region (SDWG 2015-2017 Work Plan)

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<sup>18</sup> SDWG Work Plan: 2015-2017. <https://oaarchive.arctic-council.org/handle/11374/1480>

### **Improved Decision-Making, Management, and Implementation**

- The Arctic One Health project seeks to forge co-equal, all-inclusive collaborations across multiple scientific disciplines and Arctic communities in order to enhance resiliency of the Arctic inhabitants through an enhanced understanding of climatic change impacts on health risks to people, animals, and the environment. The project will establish One Health 'hubs' across the Arctic (essentially, linking institutions) to enable the more effective implementation of the One Health approach (SDWG 2015-2017 Work Plan)

## **Sub-Appendix: Actions Identified in the Arctic Marine Strategic Plan**

### **Current or Planned Initiatives**

#### **Capacity Building**

- Enhance local involvement in the collection of information and monitoring of the marine environment including traditional and local knowledge
- Develop and standardize data sharing and management at a circumpolar level
- Improve awareness of Arctic shipping activity and its impacts by promoting expanded information sharing of ship traffic data
- Strengthen the collection, observation, monitoring and dissemination of data on the Arctic marine environment
- Map areas of the marine environment that are vulnerable to the effects of ocean acidification
- Facilitate coastal community exchanges between Arctic states to improve sharing of knowledge and experiences
- Encourage engagement with indigenous peoples organizations to inform the work of the Arctic Council in the protection of the marine environment, including through the use of traditional and local knowledge
- Strengthen the Arctic Council's communication to the public in Arctic and non-Arctic countries pointing out ongoing changes in the Arctic and their likely impact on non-Arctic areas
- Improve understanding of risks related to shipping and oil and gas exploration, including gap analysis and sharing of best practices
- Develop circumpolar indicators of changes and stressors across the Arctic marine environment



- Create inventories of and reduce emissions of short-lived climate forcers, including black carbon and methane (also in ACAP 2015-2017 Work Plan)

#### **Research and Innovation**

- Identify and develop tools for assessing cumulative impacts, threats and risks to areas of ecological and cultural significance
- Improve remote sensing capabilities to support ice detection, monitoring and forecasting (CAFF ongoing activity)
- Support research, development and implementation of oil spill detection, migration measures, and response technologies in ice-covered and ice-infested waters

#### **Improved Decision-Making, Management, and Implementation**

- Implement measures to protect Arctic marine areas of ecological and cultural significance, focusing on areas of refuge for ice-associated species
- Develop a pan-Arctic network of marine protected areas (also in PAME 2015-2017 Work Plan)
- Support efforts, in cooperation with indigenous peoples, to:
  - Reduce long-range pollution accumulating in the Arctic marine food-chains
  - Reduce emissions and implement adaptation measures
- Support research, development and implementation of oil spill detection, migration measures, and response technologies in ice-covered and ice-infested waters
- Improve safety and environment protection performance and the use of best practices and technology for all marine activities
- Support international efforts and cooperation to continue to identify, assess and reduce existing and emerging contaminants
- Implement an ecosystem approach to management in the Arctic (also in CAFF 2015-2017 Work Plan)
- Implement measures for early detection and reporting of marine invasive species in the Arctic marine environment (also in CAFF 2015-2017 Work Plan)

## Appendix D: ARAF Drafting Committee and Review Committee Members

Two committees, a Drafting Committee and a Review Committee, have been responsible for developing the ARAF. The Drafting Committee Chair and Review Committee co-Chairs were responsible for collaborating to negotiate final edits to the ARAF.

### **Drafting Committee**

The Drafting Committee is a voluntary committee of technical and policy experts. Drafting Committee members were responsible for suggesting a draft of the ARAF, after analyzing a variety of inputs to the ARAF development process.

Joel Clement (Chair), U.S. Department of the Interior

Sarah Abdelrahim, U.S. Department of the Interior

Tom Armstrong, AMAP

Nikolaj Bock, European Environment Agency

Glenn Dolcemascolo, United Nations International Strategy for Disaster Reduction

Jim Gamble, Aleut International Association

Robert Kadas, Foreign Affairs Canada

Jaana Kaipainen, Finnish Ministry of Agriculture and Environment

Gary Kofinas, University of Alaska Fairbanks

Jeanette Krantz, Swedish Ministry of the Environment

Johan Kuylensstierna, Stockholm Environment Institute

Karen Murphy, Western Alaska Landscape Conservation Center

Martin Sommerkorn, World Wildlife Fund

Jannie Staffansson, Saami Council

Julian Wilson, DG Joint Research Centre, European Commission

Facilitator: Sarah Palmer, U.S. Department of the Interior

## **Review Committee**

Each Arctic Council Member State, Permanent Participant and Working Group was requested to nominate an individual to serve on the Review Committee. Review Committee members were responsible for reviewing ARAF drafts and suggesting additions and revisions.

Jaana Kaipainen (co-Chair), Ministry of Agriculture and Forestry, Finland

Saara Lilja-Rothsten (co-Chair), Ministry of Agriculture and Forestry, Finland

Gunn-Britt Retter (co-Chair), Saami Council

Tom Barry, CAFF

Patti Bruns, ACAP and EPPR

Jon Fuglestad, AMAP

Bernard Funston, SDWG

Jim Gamble, Aleut International Association

Soffia Guðmondstdóttir, PAME

Rachel Joo, Environment and Climate Change Canada, Canada

Jeanette Krantz, Ministry of the Environment, Sweden

Marianne Kroglund, Norwegian Environment Agency, Kingdom of Norway

Aleksei Nesterov, Ministry of Economic Development, Russia

Joan Nymand Larsen, Stefansson Arctic Institute, Iceland

Ann Meceda, Department of State, United States of America

Maksim Semin, Ministry of Economic Development, Russia

Chief Michael Stickman, Arctic Athabaskan Council

Jim Stotts, Inuit Circumpolar Council

Inge Thaulow, Ministry of Foreign Affairs, Government of Greenland, Kingdom of Denmark

Attachment F  
Joel Clement Form 11

**STATEMENT OF RYAN ZINKE, SECRETARY OF THE INTERIOR  
BEFORE THE  
SENATE ENERGY AND NATURAL RESOURCES COMMITTEE  
ON THE  
2018 PRESIDENT'S BUDGET REQUEST  
June 20, 2017**

Chairman Murkowski, Ranking Member Cantwell, and Members of the Committee, I am pleased to appear before you today to discuss the 2018 President's Budget for the Department of the Interior, which provides \$11.7 billion for Interior's programs, with an additional \$123.9 million of discretionary Department of Defense appropriations requested to be transferred to the Department of the Interior to support enactment of the 2010 Compact Review Agreement with Palau.

Because of the timing between enactment of the FY 2017 Omnibus Appropriations Act and submission of the FY 2018 President's Budget, my statement compares requested funding to the FY 2017 Annualized Continuing Resolution unless otherwise noted.

**2018 Budget Priorities**

The 2018 budget for the Department of the Interior features targeted investments to further the Administration's America First national energy goals. At the same time, this budget reflects the President's commitment to fiscal responsibility – proposing sensible and rational reductions and making hard choices to reach a balanced budget by 2027.

Across Interior's diverse mission, this budget emphasizes the Department's crucial role in promoting economic growth. America's lands hold tremendous job-creating assets. Visitors to our parks spend more than \$18.4 billion in local gateway communities, supporting approximately 318,000 jobs and contributing \$34.9 billion into the national economy according to the 2016 *National Park Service Visitor Spending Effects Report*.

In 2016, the Department's energy, mineral, grazing, and forestry activities resulted in \$8.8 billion in revenue to the American people, including direct revenue payments to states, tribes, and local communities. These same activities supported \$136 billion in economic output. The Budget for the Bureau of Reclamation invests over \$1 billion in safe, reliable, and efficient management of water resources throughout the western United States. In addition, direct grants and payments to states, tribes, and local communities provided an estimated \$10 billion in economic output.

The Department's 2018 budget reflects the Administration's commitment to strengthen America's economic and energy security, focus on the Nation's infrastructure, be responsible stewards of magnificent lands, encourage public access for outdoor recreation, and strengthen tribal sovereignty and support self-determination.

## America's Energy

The Department is the steward and manager of America's natural resources, including oil, gas, coal, hydropower, minerals, and renewable energy sources. The Department has a critical role to play in the future energy security of our Nation as well as our overall economic well-being. American energy resources create jobs and generate significant revenue both to the U.S. Treasury and states. This budget proposes \$791.2 million in current and permanent funding for energy related programs across the Department, an increase of \$16.3 million from 2017. The 2018 budget supports an "all-of-the-above" energy development strategy, increasing funding for onshore and offshore oil and gas, strengthening coal management activities, and sustaining the current pace of renewable energy development.

The budget reflects the importance of offshore energy production to America's economic and energy security. The 2018 budget shores up offshore oil and gas programs with appropriated funding to continue a strong offshore program. The request for the Bureau of Ocean Energy Management features a \$10.2 million increase to update the Five-Year Outer Continental Shelf Oil and Gas Leasing Program, consistent with the President's Executive Order *Implementing an America-First Offshore Energy Strategy* to expand offshore oil and gas exploration and production. The 2018 budget for the Bureau of Safety and Environmental Enforcement includes a \$1.2 million increase to focus on workforce training, permitting, and information technologies to better permit exploration, development, and production operations.

Onshore, the budget requests a \$16.0 million increase for the Bureau of Land Management's oil and gas management program, providing a total of \$75.9 million in appropriated funds focused on improving oil and gas permit application processing, streamlining leasing, and modernizing practices. The budget also includes \$19.0 million for the BLM coal management program, an \$8.0 million increase to reduce administrative processing times, simplify the lease application process, and improve the timeliness to complete lease sale fair market value determinations.

The 2018 budget includes \$78.1 million for Renewable Energy programs both on and offshore. Although a reduction from prior years, this funding level will sustain the current pace of development at a level consistent with anticipated project interest.

To ensure the public continues to receive the full value of natural resources production on Federal lands, in April, I signed a charter establishing a Royalty Policy Committee of 28 local, tribal, state, and other stakeholders to advise me on the fair market value of and revenue collection from Federal and Indian mineral and energy leases, including renewable energy sources.

## The Nation's Infrastructure

Interior plays an important role in maintaining and improving the Nation's infrastructure. Interior's national role includes managing significant real property assets as well as conducting reviews and processing permits to support national infrastructure development as part of a balanced multiple land use strategy.

Interior's 2018 budget maintains the 2017 level of \$98.8 million for Fish and Wildlife Service planning and consultation activities. This level maintains the FWS capability to meet its legal consultation requirements and avoid logjams that could delay infrastructure projects and associated economic benefits. The BLM budget also directs base funding to address siting for energy transmission projects, and proposes an increase in the oil and gas management program to facilitate rights-of-way associated with energy development projects.

Interior manages an infrastructure asset portfolio with a replacement value exceeding \$300 billion, ranging from elementary and secondary schools serving Indian children, to highways and bridges serving the daily commuting needs of the Washington, D.C., metropolitan area. Interior owns approximately 43,000 buildings, 100,000 miles of road, and 80,000 structures – including iconic landmarks, as well as dams, bridges, laboratories, employee housing, and irrigation and power infrastructure. Taking care of this significant asset portfolio is a persistent challenge. Interior's deferred maintenance backlog has grown to over \$15 billion in 2016. Construction and maintenance funding across the Department totals \$1.4 billion in 2018, not including the Bureau of Reclamation.

From my first day on the job, one of my top priorities has been to prioritize efforts to address the National Park Service maintenance backlog. Our National Parks have 73 percent of Interior's deferred maintenance backlog while hosting 324 million visitors last year. The 2018 budget for NPS includes \$236.3 million for construction and deferred maintenance projects, an increase of \$21.0 million from 2017. Total estimated funding for NPS maintenance and construction needs including estimated recreation fee revenue is \$765.7 million, an increase of \$34.7 million from FY 2017. This increase will support targeted and measurable upgrades to a number of the NPS' highest priority assets, including the first phase of repairs to the Arlington Memorial Bridge project.

### **America's Lands**

In my first days in office, I issued two Secretarial Orders to expand access to public lands and increase hunting, fishing, and recreation opportunities nationwide. The 2018 budget includes \$4.4 billion for the Department's land management operations in the NPS, FWS, and the BLM. While a reduction of \$354.3 million from 2017, this figure includes funding for operational programs as well as management and maintenance of the national parks, national wildlife refuges, and BLM's network of national conservation lands. Within land management operations, the budget prioritizes funding to protect and conserve America's public lands and natural resources, provide access to public lands for the next generation of outdoor enthusiasts, and ensure visitor safety.

To support land management priorities, funding for lower priority activities, such as Federal land acquisition projects, is reduced. The 2018 budget emphasizes taking care of our current assets, rather than adding more by purchasing new land. Accordingly, the budget for land acquisition programs is \$54.0 million, \$129.1 million below 2017. A small amount of funding is maintained in each bureau for emergencies or acquisition of inholdings needed to improve management of established areas or to increase public access.

To better manage and balance these responsibilities, the Department relies on its front-line land managers, field scientists, and partners to monitor, assess, and collect information about the status of resource conditions. Interior's U.S. Geological Survey is the Nation's leading source of expertise in earth and natural sciences and works closely with other Departmental bureaus and state, local, tribal and other Federal partners to help resource managers adapt to changing conditions on the ground. The 2018 budget includes \$922.2 million for USGS programs, to focus on core science activities including land and water resources, energy and minerals, mapping, ecosystems, invasive species, natural hazards, and environmental health.

The 2018 request budgets responsibly for the Payments in Lieu of Taxes program. The budget includes \$397 million for these payments as part of the discretionary request, to ensure continued support to the communities neighboring the Department's and other Federal lands without assuming enactment of separate legislation. The 2018 level for PILT is reduced 12 percent below the 2017 CR level, consistent with the total reduction in the Interior budget.

A key component of the Department's land stewardship is management of wildland fire. The 2018 budget provides \$389.4 million for wildfire suppression – the full 10-year average of suppression expenditures. This level of funding is projected to be sufficient to meet fire suppression needs in an average fire season without the risk of needing emergency transfers from other departmental accounts.

### **America's Waters**

The 2018 budget also continues efforts to address the challenges of water availability and drought conditions.

The Department, primarily through the Bureau of Reclamation, works with States, tribes, local governments, and non-governmental organizations to pursue a sustainable water supply for the West by providing federal leadership and assistance on the efficient use of water. The 2018 budget continues these efforts to address the challenges of water availability.

Interior's \$1.1 billion budget request for Reclamation invests in our water and power infrastructure, facilitating the delivery of water to 31 million people across the West. It is the nation's largest renewable energy resource, and the Bureau of Reclamation plays an important role as the second largest producer of hydropower in the United States.

This budget also continues to strengthen our Tribal Nations by implementing Indian water rights settlements, and focuses on the protection and restoration of aquatic and riparian environments to ensure we can continue to provide a reliable water supply and power to the West.

### **America's Trust Responsibilities**

Interior maintains strong and important relationships with Native and insular communities, helping to promote efficient and effective governance and to support nation-building and self-determination. The Department provides services directly, or through contracts, grants or compacts, to 567 federally recognized tribes with a service population of nearly two million American Indians and Alaska Natives. The budget prioritizes support for programs serving the



broadest service population and proposes reductions in initiatives that are more narrowly focused. The President's budget maintains the Administration's strong support for the principle of tribal self-determination, and efforts to strengthen tribal communities across Indian Country. The budget includes full funding for Contract Support Costs and Tribal Grant Support Costs that tribes incur from managing Federal Indian programs.

The 2018 budget request includes \$786.4 million to continue support for core Indian education programs, including formula funding and operation and maintenance funding for elementary and secondary schools, and support for post-secondary programs. The 2018 budget continues to meet Federal responsibilities outlined in enacted land and water rights claim settlements with Indian tribes, and includes \$160.8 million for authorized settlements and technical and legal support involving tribal water rights, to maintain the Department's ability to complete these settlement requirements within the statutory timeframes.

In recognition of the importance of the Nation's relationship with Palau and the Pacific national security strategy, the budget requests \$123.9 million of discretionary Department of Defense appropriations to be transferred to the Department of the Interior to support enactment of the 2010 Compact Review Agreement with Palau.

### **Management and Reform**

As part of the President's March 2017, Executive Order on a Comprehensive Plan for Reorganizing the Executive Branch, the Administration launched a government-wide effort to create a leaner, more efficient, and more responsive government. The Order directs agencies to begin planning to operate at the funding levels in the 2018 budget and develop a broader Agency Reform Plan to address long-term workforce reductions. Interior is moving prudently with implementation and has put in place hiring controls to enable limited hiring, prioritizing filling field positions rather than office positions, and limiting hires in the Washington, D.C., and Denver, Colorado, areas. This process enables the Department to continue to fill important positions as work is underway to develop a comprehensive and thoughtful agency plan.

The 2018 budget reduces lower priority programs \$1.6 billion below 2017 and supports 59,968 full time equivalents. This represents an estimated reduction of roughly 4,000 full time equivalent staff from 2017. To accomplish this, the Department will rely on a combination of attrition, reassignments, and separation incentives. Actual attrition rates and acceptance of separation incentives will determine the need for further action to reduce staffing.

Reducing the Department's physical footprint and seeking ways to consolidate space and resources will continue to be management objectives going forward. Efforts will build on several multi-year actions to reduce Interior's nationwide facilities footprint and improve the efficiency and effectiveness of its information technology infrastructure and financial reporting capabilities. Ensuring the Department's cybersecurity strength continues to be a priority. The 2018 budget maintains \$10.0 million in the appropriated working capital fund to continue the Department's remediation of its cybersecurity systems and processes.

## **Bureau Highlights**

**Bureau of Land Management** – The 2018 request for the BLM is \$1.1 billion, a decrease of \$162.7 million below the 2017 CR level and \$180.5 million below the 2017 enacted level. The budget proposes \$963.2 million for Management of Lands and Resources and \$89.8 million for Oregon and California Grant Lands, BLM's two primary operational appropriation accounts.

The BLM request features increases in oil, gas and coal management programs reflecting national energy security priorities. The budget proposes \$75.9 million for Oil and Gas Management to support permitting and rights-of-way processing, streamline leasing, and modernize practices. The budget also includes \$19.0 million to strengthen BLM's Coal Management program, an increase of \$8.0 million from 2017.

To maintain the BLM's land stewardship responsibilities, the budget includes \$67.8 million for Rangeland Management and \$70.7 million for the Wild Horse and Burro Management program. As part of a broader effort to consider all necessary options to manage the unsustainable growth of this program, the budget proposes to eliminate current appropriations language restricting the BLM's ability to use the tools provided in the Wild and Free-Roaming Horse and Burro Act and enable BLM to manage on-range herds more effectively and humanely. The budget also proposes \$47.2 million for Recreation Resources Management and \$27.7 million to continue support for the National Conservation Land areas.

The budget includes \$89.8 million for the Oregon and California Grant Lands programs. At this level, the budget prioritizes offering the allowable sale quantity in new resource management plans.

Mineral development on Federal lands is important to the national economy. However, a long-standing challenge is to provide a fair return to taxpayers for the use of these natural resources without discouraging development. To meet this challenge, the Department will conduct a study starting in 2017 to evaluate the production and development of hardrock minerals from Federal lands. The review will include an analysis of revenue recovered by other entities, including other countries, which permit mining on their land. The Department will also consult with other appropriate agencies, such as the Department of Agriculture. The findings will be considered as part of ongoing efforts to improve agency management and streamline permitting related to natural resources produced from Federal lands.

**Bureau of Ocean Energy Management** – The 2018 President's budget for BOEM is \$171.0 million, slightly above the 2017 CR level, including \$114.2 million in current appropriations and \$56.8 million in offsetting collections from rental receipts and cost recoveries. The budget maintains a level program by increasing appropriated funding by \$35.5 million to address a commensurate shortfall in estimated offsetting rental receipts and cost recoveries. The 2018 budget features a \$10.2 million increase to support the development of a new Five-Year Plan for the OCS Oil and Gas Leasing Program.

**Bureau of Safety and Environmental Enforcement** – The 2018 President's budget request for BSEE is \$204.9 million, slightly above the 2017 CR level, including \$112.0 million in

current appropriations and \$92.9 million in offsetting collections from rental receipts, cost recoveries, and inspection fees. The budget maintains a strong offshore safety and environmental enforcement program by increasing appropriations and estimated inspection fee revenue to address anticipated shortfalls in offsetting rental receipts and other cost recoveries. The 2018 budget includes a \$1.2 million increase for technical training to expand staff development efforts for BSEE's inspector, engineer, and geoscientist workforce, and \$12.7 million for oil spill research, a reduction of \$2.2 million from 2017.

**Bureau of Reclamation** – The 2018 budget request for the Bureau of Reclamation is \$1.1 billion in discretionary appropriations. This figure reflects a decrease of 13.1% from the 2017 CR level. Of the total, \$960 million is for the Water and Related Resources account, Reclamation's largest account; \$59 million is for the Policy and Administration account; \$37 million is for the California Bay Delta Restoration account; and \$41.4 million is for the Central Valley Project Restoration Fund.

**Office of Surface Mining Reclamation and Enforcement** – The 2018 budget request for OSMRE is \$129.4 million in current appropriations, \$110.7 million below the 2017 CR level. The majority of this reduction reflects the elimination of \$89.9 million for Abandoned Mine Lands Economic Development Grants. Although beneficial, funding for this pilot program overlaps with existing mandatory Abandoned Mine Lands grants which continue without any proposed changes. The budget includes \$60.2 million for state and tribal regulatory grants, a level consistent with anticipated state and tribal program obligations.

**U.S. Geological Survey** – The 2018 budget request for the USGS is \$922.2 million, \$137.8 million below the 2017 CR level. The budget includes \$70.9 million for satellite operations, which supports continued development of the Landsat 9 ground systems, supporting a launch date in early fiscal year 2021 to replace the Landsat 7 satellite, which is reaching the end of its usable life.

The request emphasizes energy and mineral development, supporting essential hazards monitoring, and providing scientific information to support decision making by resource managers and policy makers. The budget maintains support for nationwide networks of more than 8,000 streamgages and nearly 3,000 earthquake sensors. The request provides \$17.3 million for nationwide efforts to counter invasive species and wildlife diseases such as white-nose syndrome and highly pathogenic avian influenza, and the budget maintains \$17.3 million for 40 cooperative research units that support state-specific needs, particularly related to fish and game species. It continues acquisition of modern elevation data for Alaska and the three-year cycle of topographic map updates for the contiguous United States.

The 2018 request proposes to realign the 2018 budget structure to create a new Land Resources activity to reflect focused science related to on-the-ground land management and adaptive management challenges. As part of this request, the budget proposes \$17.4 million for the National and Regional Climate Adaptation Science Centers, reflecting the proposed consolidation of eight regional centers to four.

**Fish and Wildlife Service** – The 2018 President’s budget requests \$1.3 billion for FWS programs, a decrease of \$202.9 million from the 2017 CR level. The budget includes \$1.2 billion for FWS operations, a decrease of \$85.3 million below 2017. Within Resource Management, the budget prioritizes funding to maintain operations and maintenance for the National Wildlife Refuge System (\$470.1 million) and the National Fish Hatchery System (\$51.9 million). Funding will continue operations for all refuge areas and hatchery sites.

The budget includes \$225.2 million for Ecological Services programs with an emphasis on species recovery and planning consultation activities. Consistent with efforts to focus adaptive management related science within the USGS, the request proposes to eliminate funding for Science Support at \$17.0 million and Landscape Conservation Cooperatives at \$13.0 million.

The budget is \$118.6 million for FWS conservation grants including \$52.8 million for State and Tribal Wildlife Grants, \$33.6 million for the North American Wetlands Conservation Fund, \$19.3 million for the Cooperative Endangered Species Conservation Fund, \$9.0 million for the Multinational Species Conservation Fund, and \$3.9 million for Neotropical Migratory Bird Conservation. Consistent with decreases in other land acquisition programs across the Department, the request proposes to eliminate funding for Cooperative Endangered Species Conservation Fund land acquisition grants.

**National Park Service** – The 2018 President’s budget request for NPS is \$2.6 billion, \$296.6 million below the 2017 CR level.

The budget proposes \$2.2 billion for NPS operations. Within this account, funding is prioritized for the care and maintenance of existing resources. The budget includes \$99.3 million for repair and rehabilitation projects, which addresses the deferred maintenance backlog, as well as \$112.7 million for cyclic maintenance projects, which ensures maintenance is conducted in a timely fashion to avoid increasing the deferred maintenance backlog.

The budget proposes \$226.5 million for Construction projects, an increase of \$34.0 million to help address deferred maintenance and allow for targeted and measurable upgrades to a number of the NPS’s highest priority assets. Within this request is \$18.2 million for phase one construction requirements for the Arlington Memorial Bridge. Also included in the request is \$15.0 million in appropriated funds for the Centennial Challenge program to provide the Federal match to leverage partner donations for signature projects and programs. An additional \$15.0 million from fee revenue is also anticipated for 2018 to support Centennial projects.

The request provides \$37.0 million for National Recreation and Preservation programs to support local community efforts to preserve natural and cultural resources. The budget assumes savings of \$18.8 million from the proposed elimination of payments to National Heritage Areas. The 2018 budget includes \$51.1 million for the Historic Preservation Fund core grants-in-aid programs. The budget proposes to shift support for Land and Water Conservation Fund State Grants from appropriated to mandatory funding comparable to an estimated \$90 million the program will receive from oil and gas activities from certain Gulf of Mexico offshore leases.

**Indian Affairs** – The 2018 President’s budget request for Indian Affairs is \$2.5 billion, \$303.3 million below the 2017 CR level. Funding for Operation of Indian Programs totals \$2.1 billion, a decrease of \$181.1 million below 2017. In 2018, priority is given to programs serving the broadest audience rather than initiatives or pilots. Within this total is \$786.4 million for Bureau of Indian Education programs where funding focuses on direct school operations and full funding for Tribal Grant Support Costs. The main operating account also includes \$349.3 million for Public Safety and Justice programs and \$277.5 million for Trust Services programs, which includes the elimination of the Tribal Climate Resilience program.

The budget fully funds Contract Support Costs at \$241.6 million, \$35.4 million below 2017, which will cover all anticipated requirements at the requested program funding level. The budget requests \$143.3 million for Construction programs. The 2018 budget prioritizes dams, irrigation projects, and irrigation systems which deliver water to aid economic development as well as protect lives, resources, and property. The budget prioritizes funding within education construction for operations and maintenance of existing facilities. The budget also includes \$14.0 million to provide payments to ongoing Indian Land and Water settlements and \$6.7 million for the Indian Guaranteed Loan Program.

#### **Departmental Offices**

*Office of the Secretary* – The 2018 budget request for Departmental Operations is \$123.9 million, \$596.5 million below the 2017 CR. The majority of this reduction is \$451.1 million associated with the shift of the Payments in Lieu of Taxes program which was appropriated within Departmental Operations in 2017. In 2018, the budget proposes to fund PILT as discretionary funding within Department-wide Programs. The budget also reflects the proposed transfer of \$140.3 million associated with the Office of Natural Resources Revenue to a new appropriation within Department-wide Programs. The proposed transfer of ONRR funding will increase transparency in the budget for the Department’s energy revenue programs. The 2018 request for remaining Office of Secretary programs reflects a reduction of \$4.0 million from central program management activities across the Office of the Secretary organization. Of this, \$2.6 million is associated with reductions to the Office of Valuation Services consistent with the proposed Department-wide decrease for new land acquisition.

*Office of Insular Affairs* – The 2018 OIA budget request is \$84.3 million, \$19.0 million below the 2017 CR. In addition, the majority of OIA’s budget proposal reflects a request to fully fund the renegotiated Compact with Palau by transferring \$123.9 million from the Department of Defense, rather than \$13.1 million in extended incremental annual payments. The Compact is an important element of the Pacific national security strategy.

*Office of the Solicitor* – The 2018 budget proposes \$65.7 million for the Office of the Solicitor, the same as the 2017 CR level, to provide legal counsel, administer the Department’s ethics program, and help resolve legal issues among bureaus and offices as they fulfill their duties.

*Office of Inspector General* – The 2018 budget proposes \$50.0 million for the Office of Inspector General, the same as the 2017 CR level, to continue support for audit and investigations across the Department.

*Office of the Special Trustee for American Indians* – The 2018 budget requests \$119.4 million for OST, \$19.4 million below the 2017 CR level. The budget proposes a \$3.7 million reduction below 2017 in Field Operations reflecting prioritization of services to continue operations at the beneficiary call center. A reduction of \$3.1 million is proposed within Historical Trust Accounting in expectation of reduced requirements. Smaller additional reductions are taken across the organization.

#### **Department-wide Programs**

*Payments in Lieu of Taxes* – The 2018 budget proposes \$396.9 million in discretionary funding for PILT, a decrease of \$54.3 million from the comparable 2017 CR level of \$451.1 million appropriated in Departmental Operations in 2016. This is a reduction of 12 percent, commensurate with the Department of the Interior's overall reduction from 2017 CR budget levels.

*Office of Natural Resources Revenue* – The 2018 budget request includes \$137.8 million for ONRR's receipts management programs, a decrease of \$2.5 million below the comparable 2017 CR level of \$140.3 million. The 2018 budget request proposes to transfer ONRR's receipts management program from the Office of the Secretary's Departmental Operations account to a separate appropriation within Department-wide Programs to increase transparency of the program. The request includes \$3.5 million for anticipated contract cost increases for the Minerals Revenue Management Support System.

*Central Hazardous Materials Fund* – The 2018 budget requests \$2.0 million for the Central Hazardous Materials Fund, \$8.0 million below the 2017 CR. The budget request funds program management and legal staff. The program will fund the highest priority remediation projects based on the availability of recoveries and focus resources on remediation projects with potentially responsible parties.

*Wildland Fire Management* – The 2018 budget request for the Wildland Fire Management Program is \$873.5 million. The total request represents a decrease of \$118.3 million from the 2017 CR level for the Wildland Fire Management and FLAME accounts. At this level the request provides \$389.4 million for Suppression Operations to fully fund the 10-year average. To streamline financial management processes and improve the efficiency in allocating suppression funding, the Department proposes to fund all suppression activities in the Wildland Fire Management account and eliminate the separate FLAME Wildfire Suppression Reserve Fund account once all current balances in the FLAME account are drawn down. The request also includes \$322.2 million for Preparedness activities, essentially level with 2017, and \$149.5 million for Fuels Management, \$20.2 million below 2017.

*Natural Resource Damage Assessment and Restoration* – The 2018 request for NRDAR is \$4.6 million, a decrease of \$3.2 million below the 2017 CR level. The budget includes funding needed for ongoing damage assessments and restoration activities.

*Working Capital Fund* – The 2018 budget proposes \$59.5 million for the appropriated portion of the Department's Working Capital Fund, a decrease of \$7.5 million from the 2017 CR level. The reduction is from funds requested for the Financial and Business Management System which

is proposed at \$46.3 million. The request maintains \$10.0 million for Department-wide Cybersecurity needs.

### **Legislative Proposals**

*Bureau of Reclamation Title Transfer* – The Administration is developing a proposal to better facilitate title transfer of Reclamation facilities to non-Federal entities when such transfers are beneficial to all parties. This proposal will allow local water managers to make their own decisions to improve water management at the local level, while allowing Reclamation to focus management efforts on projects with a greater Federal nexus.

*Cancel Southern Nevada Public Land Management Act Account Balances* – The budget proposes legislation to cancel \$230.0 million in unobligated balances from the Southern Nevada Public Land Management Act program over a three year period. This would redirect a portion of the program balances to the Treasury for broader taxpayer use. The SNPLMA program is not proposed for elimination and viable conservation efforts will continue to be supported.

*Gulf of Mexico Energy Security Act Payments* – The Administration proposes to repeal revenue sharing payments to four coastal States – Alabama, Louisiana, Mississippi, and Texas – and their local governments, which are currently set to expand substantially starting in 2018. This proposal will ensure the sale of public resources from Federal waters owned by all Americans, benefits all Americans. Mandatory funding for LWCF State Grants would continue, but this legislative proposal would replace GOMESA’s complicated allocation formula with a fixed annual appropriation of a comparable dollar amount, starting at \$90.0 million in 2018 and increasing to \$125.0 million in 2022 and remaining at \$125.0 million each year thereafter.

*Land and Water Conservation Fund* – The LWCF receipts authorization expires at the end of fiscal year 2018 and the Administration will review options for reauthorization, including consideration of a range of conservation-related investments that could be funded through the LWCF.

*Oil and Gas Leasing in the Arctic National Wildlife Refuge* – The Administration will propose legislation to allow oil and gas leasing in the coastal plain of the Arctic National Wildlife Refuge also known as the “1002 area.” The budget assumes lease sales would begin in 2022 or 2023, allowing adequate time for the completion of appropriate environmental reviews and an updated assessment of the state of the oil and gas market and lease bidding potential prior to scheduling specific lease sales. An additional lease sale or sales would be held in 2026 or 2027. Lease sales in the ANWR are estimated to generate \$3.5 billion in bonus bids to be split between the U.S. Treasury and the State of Alaska. The proposal is estimated to generate a net of \$1.8 billion in new revenue to the Treasury over 10 years.

*Reauthorize the Federal Land Transaction Facilitation Act* – The budget assumes permanent reauthorization of FLTFA’s land sale authority, allowing Interior to dispose of lands with low conservation value and use the proceeds to acquire lands with higher conservation values, consistent with the original FLTFA mandate.

*Recreation Fee Program* – The budget proposes to permanently reauthorize the Federal Lands Recreation Enhancement Act, which currently expires in September 2018. As a precaution, appropriations language is also submitted with the budget proposing a one-year extension through September 2019. The revenues collected by Interior from these recreation fees – nearly \$290 million annually – are an important source of funding for land management operations, maintenance, and improvements to recreation facilities on public lands.

*Termination of EPO Act Geothermal Payments to Counties* – The budget proposes to restore Federal geothermal leasing revenue allocations to the historical formula of 50 percent to the States and 50 percent to the U.S. Treasury by repealing Section 224(b) of the Energy Policy Act of 2005.

### **Offsetting Collections and Fees**

*Bureau of Safety and Environmental Enforcement Offshore Inspection Fees* – The budget includes appropriations language to amend the current fee structure for BSEE inspection fees to better align with BSEE's inspection practices and program costs. The language structures fees charged for the inspection of offshore facilities to distinguish between those "without processing equipment" or "with processing equipment" and incorporate consideration of the number of wells and water depth. These changes to the fee structure are estimated to generate \$65.0 million in 2018.

*National Wildlife Refuge Damage Cost Recovery* – The budget includes appropriations language to authorize the FWS to retain recoveries from responsible parties to restore or replace damages they cause. This is similar to authorities provided to the NPS for damages to national parks and monuments.

### **Conclusion**

Thank you for the opportunity to testify on the President's 2018 budget request for the Department of the Interior.

In closing, this is a responsible budget to help balance the Federal budget by 2027. It maintains core functions important to the American people, including providing the public the unique American experience that comes from visiting our parks, refuges, and public lands. It reflects tough choices to prioritize and focus limited resources where investments have the most impact, but continues to deliver access and services which are critical to Americans. I thank you again for your continued support of the Department's mission. I look forward to answering questions about this budget. This concludes my written statement.



Attachment G  
Joel Clement Form 11



SES Performance Management System  
Department of the Interior Executive Performance Agreement



**Part 1. Consultation.** *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): Clement, Joel P

Appraisal Pd: -

Executive's Signature:

Date: 1/4/16

Title: Director, Office of Policy Analysis

Organization:

Rating Official's Name (Last, First, MI): Faeth, Lori

CA ☐ NC ☐ LT/LE ☐

Rating Official's Signature:

Date: 1/4/16

**Part 2. Progress Review**

Executive's Signature:

Date: 6/3/16

Rating Official's Signature:

Date: 6/3/16

Reviewing Official's Signature (Optional):

Date:

**Part 3. Summary Rating**

Initial Summary Rating

☒ Level 5  
Outstanding

☐ Level 4  
Exceeds Fully  
Successful

☐ Level 3  
Fully Successful

☐ Level 2  
Minimally  
Satisfactory

☐ Level 1  
Unsatisfactory

Rating Official's Name (Last, First, MI): Faeth, Lori

Rating Official's Signature:

Date: 11/10/16

Executive's Signature:

Date: 11/10/16

Reviewing Official's Signature (Optional):

Date:

**Higher Level Review (if applicable)**

☐ I request a higher level review. Executive's Initials:

Date:

Higher Level Review Completed ☐

Date:

Higher Level Reviewer Signature:

**Performance Review Board Recommendation**

☐ Level 5

☐ Level 4

☐ Level 3

☐ Level 2

☐ Level 1

PRB Chair Signature:

Date:

**Annual Summary Rating**

☐ Level 5

☐ Level 4

☐ Level 3

☐ Level 2

☐ Level 1

Appointing Authority Signature:

Date:

**Part 4. Derivation Formula and Calculation of Annual Summary Rating**

Critical Element	Element Rating		Weight	Score		Summary Level Ranges
	Initial	Final (if changed)		Initial	Final (if changed)	
1. Leading Change	5		15	75		475-500 = Level 5 400-474 = Level 4 300-399 = Level 3 200-299 = Level 2 Any CE rated Level 1 = Level 1
2. Leading People	4		15	60		
3. Business Acumen	5		15	75		
4. Building Coalitions	5		15	75		
5. Results Driven	5		40	200		
Total			100%	485		

Executive Name and ID:

Appraisal Period:

### Part 5. Critical Elements

**Performance Standards for Critical Elements** (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

### Element Rating Level Points

Level 5 = 5 points  
Level 4 = 4 points  
Level 3 = 3 points  
Level 2 = 2 points  
Level 1 = 0 points

Executive Name and ID:

Appraisal Period:

**Critical Element 1. Leading Change**

(Minimum weight 5%)

Weight 15%

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading Change

☒ Level 5☐ Level 4☐ Level 3☐ Level 2☐ Level 1**Critical Element 2. Leading People**

(Minimum weight 5%)

Weight 15%

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

Agency-Specific Performance Requirements

Rating Official Narrative: *(Optional)*

Critical Element Rating – Leading People

☐ Level 5☒ Level 4☐ Level 3☐ Level 2☐ Level 1

Executive Name and ID:

Appraisal Period:

<b>Critical Element 3. Business Acumen</b>		<b>(Minimum weight 5%)</b>		<b>Weight 15%</b>		
Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.						
Agency-Specific Performance Requirements						
Rating Official Narrative: <i>(Optional)</i>						
Critical Element Rating – Business Acumen		<input checked="" type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1
<b>Critical Element 4. Building Coalitions</b>		<b>(Minimum weight 5%)</b>		<b>Weight 15%</b>		
Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.						
Agency-Specific Performance Requirements						
Rating Official Narrative: <i>(Optional)</i>						
Critical Element Rating – Building Coalitions		<input checked="" type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Executive Name and ID:

Appraisal Period:

Critical Element 5. Results Driven	(Minimum Weight 20%)	Weight 40%
<p><b>Agency Goals/Objectives for current FY: Must have at least 3 results and not more than 5.</b>  This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.</p> <p>Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.</p>		
<p><b>Performance Requirement 1:</b> Provide leadership, coordination, and scientific insight for the Department's Arctic engagements, both domestic and international:  Ensure the timely implementation of DOI-related elements of the National Strategy for the Arctic Region, support implementation of EO 13689 and the Arctic Executive Steering Committee -particularly as relates to DOI efforts in the Arctic, and advance DOI and USG priorities for the US Chairmanship of the Arctic Council. Serve as the DOI and federal lead on Arctic council initiatives related to climate resilience and ecosystem-based management and ensure their inclusion in both the US Chairmanship program and draft Ministerial documents where possible.</p>	<p>Strategic Alignment: Executive Order 13689: Enhancing Coordination of National Efforts in the Arctic;  National Strategy for the Arctic Region Implementation Plan;  Arctic Council, US Chairmanship Program</p>	
<p><b>Performance Requirement 2:</b> Provide leadership and guidance for Departmental energy and climate change adaptation activities.  Results will include leadership and support for the DOI Climate and Energy Task Force and Climate Change Working Group; implementation of interagency activities associated with EO 13653 and the Priority Agenda for Enhancing the Climate Resilience of America's Natural Resources; assessing implementation of Department-wide climate change priority goal; delivering a progress report on implementation of DOI's climate adaptation policy 523 DM 1.</p>	<p>Strategic Alignment: SO 3289: Addressing the Impacts of Climate Change on America's Water, Land and other Natural and Cultural Resources.  EO 13653: Preparing the United States for the Impacts of Climate Change.  SO 3330: Improving Mitigation Policies and Practices of the Department of the Interior.  White House Priority Agenda for Enhancing the Climate Resilience of America's Natural Resources</p>	
<p><b>Performance Requirement 3:</b> Provide leadership and guidance for Departmental priority on managing at the landscape-scale to build resilience and improve outcomes. Coordinate bureau policy-making and advance implementation of the Departmental policy on landscape-scale mitigation. Facilitate the development of multiple proof of concept landscape-scale efforts nationwide. Facilitate policy implementation of SO 3336, including DM chapter.</p>	<p>Strategic Alignment: EO 13653: Preparing the United States for the Impacts of Climate Change  SO 3330: Improving Mitigation Policies and Practices of the Department of the Interior. SO 3336 Rangeland Fire Prevention, Management, and Restoration</p>	
<p><b>Performance Requirement 4:</b> Provide oversight and leadership for the office's coordination of major cross-cutting programs and budgets, including invasive species, science, economics, ocean policy, Tribal issues, and other cross-cutting natural resource matters. Ensure senior leadership is kept apprised of major actions and reports in these areas, and that such reports are put to full and effective use. Results will include delivery of 2016 Economic Report, implementation of DOI Invasive Species Action Plan, and articulation of DOI science budget priorities.</p>	<p>Strategic Alignment:  EO 13112: Invasive Species  DOI Invasive Species Action Plan  Executive Order 13547: Stewardship of the Ocean, Our Coasts, and the Great Lakes</p>	

Performance Requirement 5:		Strategic Alignment:			
Rating Official Narrative: <i>(Optional)</i>					
Critical Element Rating – Results Driven	<input checked="" type="checkbox"/> Level 5	<input type="checkbox"/> Level 4	<input type="checkbox"/> Level 3	<input type="checkbox"/> Level 2	<input type="checkbox"/> Level 1

Executive Name and ID:

Rating Period:

**Part 6: Summary Rating Narrative (Mandatory)**

Joel's leadership of the Office of Policy Analysis resulted in another year of advancing key Secretarial and Administration priorities including priorities for the Arctic Council, climate adaptation and the President's mitigation policy. In addition, the office expanded its work on tribal issues and put into place a structure that will ensure this commitment continues. The Deputy Director position was not refilled during FY16 but Joel had Ben Simon serve as Acting Deputy Director while still fulfilling his duties with the economics team. This worked, but hiring this important position was a priority and Joel successfully made a great hire in a recent SESCDP participant who started in this role in early September 2016.

The Office continues to produce high-quality products including the annual economic contributions report and in FY16 with refining the American Indian Population and Labor Force Report. Joel was instrumental in developing the Arctic Council Arctic Resilience Action Framework and supported the Chief of Staff in staffing the Arctic Executive Steering Committee.

I appreciate Joel's commitment to responsible management of the PPA budget and to thinking about links between priorities and the budget and working with POB to ensure budget recommendations reflect policy priorities. In addition to strong and effective relationships with DOI and OMB budget staff, Joel's work with international partners and NGOs have played a large role in advancing DOI priorities.

Joel had another great year of leading a team of professionals that plays a big role in the evaluation, analysis and implementation of Departmental and Administration priorities.

**Part 7: Executive's Accomplishment Narrative (Optional)**

**Leading Change**

While last year was marked by the strategic alignment that can often emerge after years of leadership around linked issues, this year was about taking advantage of that alignment to establish new goals and begin to implement change. Last year my efforts, and those of my team, that related to DOI priorities such as climate change, Arctic, landscape conservation, ecosystem services, invasive species, and tribal issues all began to blend, both in terms of work products but also personnel. This synergy was invigorating for me and my staff, and this year I succeeded in directing this convergence toward a set of accomplishments that memorialize these many years of work and establish goals looking forward. For example, DOI has been a federal leader in mainstreaming climate adaptation, largely due to the efforts of this office, but there were still important areas that needed improvement. I initiated a "policy review" to hold the Department and its Bureaus accountable to the climate policy that I developed four years ago, aided by a memo from the Deputy Secretary requesting bureau participation. This review, and the bureau self-examination associated with it, has led to a set of goals and objectives to guide our work going forward, goals that relate not only to climate change but also to closely related priorities such as the Arctic, invasive species, and overall landscape conservation. Some of these elements, such as using landscape-level approaches to build resilience, were subsequently incorporated into a White House report on resilience opportunities going forward, and others have been incorporated into an international resilience agreement for the Arctic, but more importantly for long-term buy-in and implementation, many of these elements are being reflected in policies and products here at DOI that will guide the career staff as we enter a transition year.

**Leading People**

This could have been a very difficult year for leading the PPA team; I was without a Deputy Director for the entire year, was without administrative support for several months, and had to press my Economics Director into service to handle some of the day-to-day duties at a time when his plate was already full and many of our projects were reaching maturity. However, by highlighting the growing capacity and knowledge of the excellent hires from the year before and bringing on some exceptional new additions, I was able to ensure that not only did we meet our existing obligations, but we managed to initiate major new work-streams in areas such as ecosystem services and tribal issues. I established effective new mentor/mentee roles in the office and made sure to single out high performers for awards, promotions, and recognition within their peer groups and made it clear that hard work and attention to detail will get you noticed.



As a result this was the most prolific and influential year for PPA since I've been at DOI (the fact that I say this every year is an indication of a very positive trend). Strategic staffing changes as a result of hires, retirements, promotions, details, and portfolio shifts not only reduced the salary profile and improved productivity, inclusiveness, and morale, it led to a dramatic improvement in gender, age, and racial diversity and continued to establish PPA's reputation as a highly effective office. While I am glad to see the enthusiasm, expertise, and good reputation continue to grow at PPA, I'm particularly proud of how much more diverse this office is now than it was when I took the helm.

#### **Business Acumen**

I continued to provide oversight for all budgetary expenditures and acquisitions, establish expectations for budget reporting and responsiveness, and ensure that all employees complied with requirements and policies. My budget engagement was not limited to the office budget, and now includes the overall DOI mission and enterprise. Addressing a long-time goal of mine, our office continued to expand our role assisting the Budget Office as they strive to ensure that Departmental and Bureau budgets align well with the strategic objectives of cross-cutting policy priorities. This alignment of budget and policy expertise is an extremely positive development and we enjoy working closely with the budget experts to bring alignment and improve communications around DOI priorities. We provided budget guidance to the bureaus on several topics including climate change, science coordination, invasive species, large landscape management, Arctic issues, and ocean and coastal priorities; we worked with POB to brief congressional committees on invasive species, mitigation, Arctic, and science coordination issues as we had the year before; and we engaged with the Performance office to ensure that policy priorities were being reflected in performance measures. In the meantime, three flagship outreach efforts also helped build the Policy Office brand – the Policy Seminar Series, the NEWSWAVE, and our website. Hundreds of people each month now tune in to the seminar and earn professional training credit for doing so, while our award-winning *NEWSWAVE* showcases the Department's diverse stewardship roles for our nation's ocean, coastal, and Great Lakes resources, and is distributed online to over 5,000 subscribers. This year we also dramatically expanded our services for ASIA and BIA with two shared hires and worked closely with those hallways to coordinate their efforts.

#### **Building Coalitions**

I co-chair, on behalf of the U.S., and with Sweden as co-chair, the development of the Arctic Resilience Assessment. I also lead the climate change adaptation and resilience theme of the US Chairmanship of the Arctic Council. Under my leadership these interagency and international coalitions have generated excellent products and generally exceeded expectations, but there was no mechanism to put these new information products and tools into practice, no implementation plan to guide our next steps. In order to address this need I conceived of and convened an international "Arctic resilience workshop" to identify consensus among Arctic Council partners regarding next steps for building resilience. I facilitated a diverse group of stakeholders toward the shared interest of developing a resilience implementation framework for the Arctic, and established an international coalition that included representatives from Arctic states, indigenous organizations, environmental NGO's, and academia. Under my leadership this coalition developed a world-class implementation framework under tight deadline pressure, a framework that has already gained recognition from the United Nations. To ensure that the product would have legs beyond the delivery date, I identified the key partners that would be essential to implementation (Finland and Saami Council), and they accepted my invitation to become co-chairs of the effort going forward. As a result the Senior Arctic Officials of the Arctic States have accepted the draft and requested that a final version be presented to the foreign ministers, and Finland has committed to hosting the first-ever Arctic Resilience Forum during their Chairmanship. This coalition is now becoming a community of practice that will be instrumental in building community and ecosystems resilience in the Arctic.

#### **Results Driven**

**Requirement 1:** Last year the US assumed the two-year chairmanship of the Arctic Council with three overarching goals related to ocean stewardship, healthy Arctic communities, and climate resilience. Because all three of these issues are focal areas for DOI, PPA engaged fully with the Department of State in each goal. For example, as a member of the US delegation I ensured the appropriate inclusion of ecosystem-based management in the deliberations of the Task Force on Marine Cooperation, a Task Force that could dramatically reshape how the Arctic Council does its conservation work. My most extensive engagement, however, related to climate change. I conceived, developed, and led the climate resilience program on behalf of the US Government and ensured that these activities integrated top DOI and White House priorities. This year, under my leadership, the resilience agenda has proven to be the most consistently active ongoing effort of the Chairmanship, delivering multiple products and ensuring that there will be many important accomplishments to be proud of when the US hands the chairmanship over to Finland in 2017 – including resilience tools for northern communities as well as important policy guidance on matters such as Arctic invasive species. In addition, I leveraged this success into a major new crosscutting focus on Arctic resilience, an implementation framework called the Arctic Resilience Action Framework. Described above (Building Coalitions), this involved distributing a survey, holding a standing-room-only resilience workshop on the margins of the biannual Senior Arctic Officials (SAO) meeting, leading a diverse international coalition of experts to develop the Framework on a very tight time frame, and presenting this framework at the subsequent SAO meeting. It was extremely well-received, praised by the Arctic states around the table as a useful and practical product that will actually support change, and subsequently approved for inclusion in Ministerial deliberations for 2017. This has been perhaps the most impactful effort of my career here. I'm humbled by the support and engagement of a world class team of experts and appreciate their warm praise for elevating the Arctic resilience issue domestically and abroad.

Domestically, I was responsible for staffing and leading DOI's engagement with the White House Arctic Executive Steering Committee (AESC, established by the Executive Order). In this capacity I not only represented DOI at meetings of the AESC chaired by the President's Science Advisor, Dr. John Holdren (DOI's Chief of Staff, our political lead, was generally unable to attend), but I also co-chaired the Community Resilience Working Group, the interagency team that was designated by Dr. Holdren to address the urgent threats

to Alaska Native Villages from coastal erosion and other climate change-related hazards. This working group was a result of a proposal that I introduced via our Chief of Staff last year and its efforts were reflected in Presidential priorities established during the President's visit to the region in 2015. In 2016, this working group has addressed difficult implementation challenges particular to the region, and with my leadership we have helped establish a far more collaborative interagency approach to addressing these ongoing disasters while also directing the investment of over \$10 million for improving resilience. In addition, I led the development of a draft Relocation Framework to provide governance and funding guidance for communities in distress, which has been consistently affirmed as one of the major needs for addressing the managed-retreat or relocation dilemma.

**Requirement 2:** As was the case in 2015, I supported and helped lead the Energy and Climate Change Task Force (Assistant Secretaries and Bureau Directors) to ensure leadership attention remained focused on agency climate and energy priorities described in Secretarial Orders and White House directives. I also led the climate change working group (staff-level experts) through a process of self-examination (described above in Leading Change) that would establish a set of goals and objectives for staff-level engagement moving forward into a transition year. I also ensured that the three DOI priorities that I had embedded in the White House *Priority Agenda for Enhancing the Climate Resilience of America's Natural Resources* (October 2014) were delivered on time – an invasive species early detection and rapid response framework, the Resilient Lands and Waters initiative for expanding our use of landscape-level conservation approaches (which we have now successfully handed off to an interagency entity to manage), and the Arctic resilience efforts described above. Each of these efforts was conceived and/or developed by me but required a team effort to get across the finish line, and my staff demonstrated excellent leadership and expertise in doing so. Collectively, these actions were recognized by the White House and other partners as representing substantial progress for DOI on climate change matters. In addition, I traveled to the COP21 in Paris with the Secretary of the Interior to support her participation in a series of climate resilience panels and presentations that I arranged with State Department colleagues; broadened DOI climate change engagement by assigning staff to co-chair the Federal Adaptation Community of Practice (consisting of over 250 federal climate adaptation and resilience professionals); oversaw the development and completion of the first round of Resilient Natural Resources Leaders Awards; worked with staff to develop DOI guidance for climate change literacy and training that was signed and distributed by the Deputy Secretary; reviewed and updated the climate metrics incorporated into the DOI Strategic Sustainability Performance Plan and Climate Resilience Priority Goal; worked with staff to lead DOI implementation of the Federal Flood Risk Management Standard; produced two studies, one internal and another external, on climate change's economic impacts on the assets and equities of the Department in two regions of the country; and led DOI's input into the Administration's final climate change white paper *Opportunities to Enhance the Nation's Resilience to Climate Change*, a forward-looking set of opportunities for the federal government to advance climate resilience efforts beyond 2016.

**Requirement 3:** As primary author of the Department's *Strategy for Improving the Mitigation Policies and Practices of the Department of the Interior*, I led an inter-bureau effort in 2015 to create a new policy chapter to the Departmental Manual that established into policy the use of landscape-level approaches in the practice of mitigation – a policy that the White House amplified with a subsequent, similarly-worded Executive Memorandum that year. This year I provided oversight as the bureaus crafted their own step-down mitigation policies and ensured, for the Deputy Secretary, that these incredibly complex policies were consistent with the DOI policy and reflected the Administration and DOI priority for implementing landscape-level approaches. I also brought the Resilient Lands and Waters initiative over the finish line, the proof-of-concept set of 7 landscapes nationwide that modeled the landscape approach in their plans and strategies. The draft report (to be finalized shortly) presents an impressive array of landscape strategies and demonstrates enthusiastic partner buy-in for the overall approach. In addition, I expanded implementation by addressing the need for policies that guide the use of landscape-level approaches for nearly all management activities of the Department, rather than just mitigation. To do so I secured leadership support to draft an "umbrella" landscape-level management policy that will guide DOI's conservation, management, permitting, and planning efforts. It establishes, for the first time, the overall DOI preference for landscape-level approaches, identifies Departmental and bureau responsibilities regarding this new approach, and establishes a cross-bureau Working Group that will establish the rules of the road for implementing these practices and develop a guidance document for implementation in the field. I have similarly overseen the integration of the landscape-level approach into the step-down DM chapter establishing into policy the Secretarial Order on wildfire and invasive species in the sagebrush biome. This is the work that will ensure that there are policies and procedures to guide the career staff as they implement these important new approaches – essential to maintaining momentum as we enter a year of transition. This effort was guided by input from field staff in several bureaus rather than crafted by DC bureaucrats like myself, so I'm confident that it has legs and proud of the level of engagement in a matter that can seem trivial but is a substantial transformation in how DOI does business. As an example of staff and partner engagement in this landscape-level enterprise, in 2016 the bureau Regional Directors in Alaska signed a Memorandum of Understanding with the State of Alaska to implement the landscape-level approach on federal lands in Alaska – an approach known there as *Integrated Arctic Management*, a term that I established in a Report to the President in 2013. It's so gratifying to see these efforts coalesce!

**Requirement 4:** 2016 was an extraordinary year for PPA's engagement in cross-cutting issues. In addition to the Arctic, climate change, and landscape efforts described above, the Department's engagement on invasive species increased exponentially. I worked closely with our Invasive Species Coordinator, in just her second year, to get the EDRR framework finalized and distributed via the White House and ramp up the activities of the Invasive Species Task Force – the DOI Bureau representatives on this matter – as they implemented the Department's Action Plan by delivering several documents and a policy. We continued to support the Budget and Congressional Affairs offices in presenting materials to OMB and the Hill, and completed an important assessment of pathways and policies for invasive species in the Arctic. In addition, we worked together and with the DAS PIA to navigate and manage multiple unexpected organizational and personnel challenges that could be described as 'growing pains', and emerged with a reinvigorated sense of role and purpose as well

as objectives for the coming year. In addition to the DAS PIA engagement, this year the PDAS PMB took on a leadership role with the overall DOI oceans and coastal efforts. I continued to supervise the team and review all outputs as they planned and held a highly-regarded strategic planning retreat for the DOI oceans team, hosted three meetings of the Coral Reef Task Force, and responded to innumerable document and briefing requests. Our science coordination role continues despite the temporary loss of this FTE, and I've taken on the responsibility for ensuring that the science advisor group still meets to consider improvements to our overall science and budget enterprise. I also worked closely this year with the Director of the USGS to establish a DOI review and clearance process for scientific documents that has previously been cleared on behalf of DOI by the USGS director only.

This was also a busy year for our economic and tribal work; we delivered this year's DOI Economic Report with a greater emphasis on the website interface, a trend that we plan to continue in 2017 by moving almost entirely to a digital delivery; I requested, and we produced, two "cost of inaction" studies that assess the economic impacts of climate change on DOI equities; we dramatically expanded our services for ASIA and BIA by hiring more staff and providing more services on economic matters, such as hosting a well-attended American Indian Alaska Native Data Workshop and further refining the American Indian Population and Labor Force Report; I established an entirely new work stream on ecosystem services, in response to Executive Memorandum, and lead the DOI Ecosystem Services Implementation Task Force; I supervised our team as we ramped up our work on recreation statistics via a Service First effort to obtain or establish more consistent sector-wide statistics that better reflect the use of public lands; and I oversaw delivery of multiple products relating to conservation banking, Natural Resource Damage Assessment, and minerals and energy.

#### Part 8: Agency Use