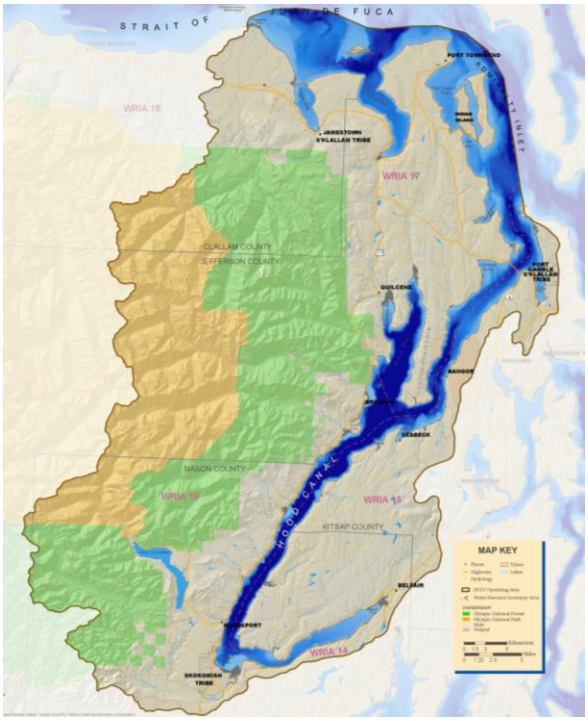
Salmon Recovery Grant Process Guide

Developing Salmon Habitat Recovery Projects In Hood Canal & the Eastern Strait of Juan de Fuca



For Use During Salmon Recovery Funding Board's 2010 Grant Cycle

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TABLE OF CONTENTS

EXECUTIVE SUMMARY

The following Process Guide is an illustration of the Hood Canal Coordinating Council (HCCC) Lead Entity[1] procedure for developing projects and forwarding to the Salmon Recovery Funding Board (SRFB) for review and funding. The Guide incorporates the recommendations of the consensus body Lead Entity members and member governments of the Regional Recovery Organization into each phase of the local process for the 2010 SRFB grant cycle. This Process Guide also serves as a reference that will assist all Lead Entity participants (project sponsors, committee members, staff, reviewers, etc.) throughout the process, from project development to final presentation to the SRFB.

A significant change adopted by the SRFB to be performed by lead entities is the implementation of Endangered Species Act (ESA) salmon recovery plans, which in our region exist for chinook salmon, summer chum salmon and bull trout, with a plan for steelhead trout to be developed in the near future. The Hood Canal Coordinating Council is the designated Regional Recovery Organization for summer chum salmon as well as the Lead Entity for salmon recovery of all species in the Lead Entity area, including portions of Jefferson, Mason, and Kitsap Counties flowing into Hood Canal and the Eastern Strait of Juan de Fuca. In addition, we are developing partnerships with the North Olympic Peninsula Lead Entity and its participants to expand this work into summer chum salmon habitat areas.

The local process is divided into six phases that include the 3 Year Work Program update, preapplication & application, technical review & ranking, Habitat Project List Committee review & final ranking, HCCC administration, and SRFB review and funding. This Guide describes each of these phases and what participants can expect. The SRFB produces an updated Grants Manual each year that outlines state-wide processes that is a companion to this Process Guide. This information may be supplemented by additional material once the 2010 funding round begins. The Appendices in this Guide represent current and previous decisions that together strive to make the local process as effective and efficient as possible in light of the continuing recognition of the need for salmon recovery.

[1] Pursuant to Chapter 77.85 RCW and SRFB policies, all projects seeking funds administered by the SRFB must be reviewed and prioritized by a lead entity group in order to be considered for funding by the SRFB.

PHASE I: 3 YEAR WORK PROGRAM

Need for a Multi-Year Work Program

The Hood Canal Coordinating Council (HCCC) Lead Entity began developing a 3 Year Work Program in 2006 in order to improve efficiencies with implementing a large capital improvement program (CIP) over several years, to increase the strategic focus of our proposed projects, and to facilitate multiple levels of review which occur in this process. This move from an annual project review process towards a CIP approach allows us to more fully integrate priorities, sequencing, phasing, life history modeling, and H-integration.

Update Process

Each year we will strive to:

1. Revise existing projects to reflect the last year's worth of work,
2. Add any new projects and document their relative priorities,
3. Update timelines for each project,
4. Update project phasing,
5. Update funding amount and sources,
6. Update likely sponsors and partners,
7. Improve sequencing,
8. Improve performance measures,
9. Improve project descriptions where needed, and
10. Improve H-integration efforts as appropriate.

This phase of the HCCC process is extremely time-consuming given the large area and number of watersheds, large number of project sponsors, and significant amount of work being undertaken at any given time. Thus this phase is undertaken each year with the caveat that it is completed with limited resources, updated voluntarily, and may not be completely comprehensive.

The 3 Year Work Program is updated and posted at the HCCC website before the preapplication phase begins. Beginning in 2009, projects proposed for SRFB funding must be consistent with the updated 3 Year Work Program. Exceptions may exist, but these must be approved by the 2 local review committees.

Beginning in 2010, HCCC staff has worked to link each project in the 3 Year Work Program with entries in the on-line Habitat Work Schedule.

PHASE II: PREAPPLICATION & APPLICATION

Timeline

A timeline is extremely important to establish early in a funding process. Appendix A includes the final timeline for the 2010 grant cycle.

The SRFB has adopted the 2010 Policies and Application Instructions (Manual 18), marking the beginning of the grant cycle. These materials are available on their website http://www.rco.wa.gov/documents/manuals&forms/Manual_18.pdf .

Process Review and Update

The local process, committees, groundrules, criteria, etc. documented within this Process Guide have been developed through multiple years of collaborative efforts of interested participants. All members of the Lead Entity are requested to attend each meeting so that we can reach consensus on process documentation materials and continue essential discussions on other pending regional issues. The Process Guide, Salmon Recovery Plans, and Three Year Work Program are all available from the HCCC website (www.hccc.wa.gov).

During this phase, the Lead Entity will advertise for and select participants for the Technical Advisory Group (TAG) (Phase III – Technical Review & Ranking) and the Habitat Project List Committee (HPLC) (Phase IV – HPLC Review & Final Ranking).

Ranking Criteria and Groundrules

The technical criteria (Appendix B) were developed from all previous rounds and SRFB's revised criteria for benefits to salmon and certainty of success for the 5th round (Appendix C). The Habitat Project List Committee evaluation and ranking criteria are presented in Appendix D.

The Lead Entity established groundrules to which all parties must agree (Appendix E), or change through a consensus process for the 2010 round. Changes to the groundrules can only be made via consensus of all participants.

Preapplications

A significant difference in recent grant rounds is that project proposals must be either taken directly from the 3 Year Work Program or be consistent with that Program. Project sponsors may choose to discuss their project ideas with the lead entity coordinator before submitting a preapplication in order for both parties to understand how the project fits within salmon recovery plans and potential for funding.

Project sponsors will electronically submit preapplication materials between April 1 and 23, 2010 into the SRFB's Project Information System (PRISM)

(http://www.rco.wa.gov/prism/about_prism.shtml). A minimum amount of information is needed by the lead entity committees and the SRFB Review Panel to comment on these preapplication materials, which is documented in SRFB Manual 18. However, the more complete the preapplication, the more thorough project review and comments can be. In 2010, the SRFB has effectively raised the bar for the level of detail needed for the preapplication review by focusing more attention on this early opportunity for review. If project preapplication materials are thorough enough to describe the projects in detail and answer all local and state level questions, subsequent reviews will be streamlined.

The minimum set of materials must include:

1. A project name, type, and sponsor,
2. A project location map,
3. A site or parcel map,
4. A design plan or sketch for restoration projects, to the level of degree it is available,
5. A project description,
6. A detailed budget,
7. A completed evaluation proposal,
8. And evidence that the project is part of a salmon recovery plan and/or the 3 Year Work Program.

Preapplication materials will be exported from RCO's PRISM database and input into the on-line Habitat Work Schedule by HCCC staff for this grant round. These materials will be available for download through a link on the HCCC website by April 28, 2010. These materials should be reviewed by all lead entity participants before attending the workshops.

Workshops

After project sponsors submit preapplications, the Lead Entity will hold a two day project presentation and development workshop on May 11 and 12, 2010. This workshop will consist of presentations from sponsors on the goals, details, and merits of their proposal. In addition, site visits will be scheduled for these days. Lead Entity committees and other reviewers will also work during these days to continue to provide specific improvements that should be pursued for the final application submittal, as well as opportunities for cooperation across the region, in both oral and written format.

Workshops will be organized, agendas developed, and meeting locations communicated after preapplications are submitted. Some projects, such as assessments, may not benefit from a field visit and will be excluded unless there is a special request by the project proponent to visit the site. Project sponsor attendance at these workshops is a requirement.

Final Applications

Final applications are due between May 27 and June 7, 2010. Project sponsors are responsible for updating materials in both PRISM and HWS. If discrepancies exist, the project may be excluded from further consideration by the lead entity committees.

It is important to remember when assembling final applications that they should be as thorough and accurate as possible as they are sometimes the only informational material the TAG, HPLC, SRFB Review Panel, and federal review teams will initially have to assess the merits of each application. SRFB Manual 18 documents the checklist and scopes of work required for all project types. In addition to completing any blanks in the PRISM preapplication, several documents must be attached to complete the application process, including the landowner acknowledgement form(s), project partnership contribution form(s), maps, photos, and long-term stewardship outline (download at http://www.rco.wa.gov/doc_pages/app_materials.shtml#salmon),. Questions about completing this process should be submitted to the lead entity coordinator and/or the SRFB project manager.

Final application materials will be available for download through the HCCC website and HWS by June 8, 2010.

PHASE III: TECHNICAL REVIEW & RANKING

Technical Advisory Group Participation

Technical Advisory Group members are identified in Phase I and are selected from the surrounding communities with specific technical expertise related to salmon habitat recovery such as planning, hydrology, biology and other scientific concentrations. There is no limit on the number of TAG members that can be selected to participate. Technical Team members **cannot** also sit on the HPLC. The list of all local participants from the 2009 grant round is included as Appendix F. An updated roster for the 2010 grant round will be finalized and provided to the lead entity, SRFB, and RCO electronically. SRFB Review Panel and federal review team members will be invited to participate on the TAG to facilitate an integrated review of projects and their fit to the salmon recovery plans.

Once SRFB applications are finalized they are available on the Habitat Work Schedule through a link posted on the HCCC website (www.hccc.wa.gov) for members of the TAG and HPLC to download. Hard copies will be provided to those committee members that request them. TAG members are also provided a score sheet based on the technical evaluation criteria (Appendix B). TAG members evaluate and score projects **independently** with pre-determined technical criteria for the 2010 round on the basis of the information provided in the SRFB applications. We also ask the TAG to provide comments in written format so that information can be collated and shared with the HPLC.

Evaluations and scores are due back to the HCCC Lead Entity Coordinator via email on June 17, 2010.

Technical Advisory Group Meeting Structure

Scores are normalized to present an *initial* ranking of projects for the TAG to use as a basis for their discussions at the formal ranking meeting. Comments are considered at the meeting only from those Technical Team members who scored projects.

On June 21, 2010, the TAG meets at the Island Lake Community Center between Poulsbo and Silverdale to discuss the merits of each project, then the lists in their entirety. Projects may be moved up or down on the lists based only on technical criteria. At the end of the meeting, the TAG will present final technical ranked lists of projects that are forwarded to the HPLC for their consideration and final ranking. A list of TAG recommendations/conditions to the project sponsors will be included in the meeting summary. These recommendations/conditions may be either elective or mandatory, but are believed to be in the best interest of the projects. The TAG may also develop and forward recommendations on fine-tuning project components relative to the target funding allocation given to our area.

The meeting is open to the public, and a period for public comment is reserved at the beginning and end of the meeting for those wishing to address the TAG directly. The TAG will not respond directly to any comments at the meeting, but comments will be both considered in the process and included as part of the meeting summary.

Committee members are strongly encouraged to attend both the TAG and HPLC meetings.

PHASE IV: HPLC REVIEW & FINAL RANKING

HPLC Composition

The Habitat Project List Committee (HPLC) is comprised of citizen members from the surrounding communities with an interest in salmon habitat recovery projects, as well as one representative from each of the project sponsors who have submitted applications during any previous or current funding rounds. Citizen member representation must be balanced between each of our geographic regions. No Technical Advisory Group members are allowed to participate or vote on the HPLC. However, they will be present to provide technical input if asked, or to clarify inaccurate information. The list of all local participants from the 9th round is included as Appendix F. As with the TAG roster, the 2010 round HPLC roster will be finalized and provided to the lead entity, SRFB, and RCO.

HPLC Meeting Structure

The HPLC will meet to review and rank projects on June 24, 2010 at the Island Lake Community Center between Poulsbo and Silverdale. At the HPLC meeting, the members will use the technically-ranked lists as a starting point to determine the final ranked lists. HPLC members will use a separate set of ranking criteria (Appendix D) that is based on social and economic factors, and does not reconsider any technical aspects of a project. HPLC members must use the criteria as a reference when recommending a change in the order of the initial ranked lists.

In addition, the HPLC will consider the lists as a whole in answering the question of whether or not we are progressing towards delisting of federally-listed salmon species. This qualitative review can not change the lists or their components, but can be used in affirming a positive overall direction and/or in providing input for the project development process for subsequent rounds.

The final ranked lists are forwarded to the SRFB (for summer chum) and the Puget Sound Partnership (for Chinook) with the Lead Entity application submittal packet. All Lead Entity participants will receive a summary of the HPLC meeting proceedings and final ranked lists via email and website posting.

PHASE V: HCCC ADMINISTRATION

During this phase, the Lead Entity will work with the SRFB project manager to review all final applications to check for errors and ensure applications are complete (i.e. signatures, landowner forms, stewardship plans, photos, maps, etc). The HCCC will complete both Lead Entity and Regional Area submittal packets that list our projects in rank order for both summer chum salmon and chinook salmon, summarizes the nature of the projects submitted to the SRFB from the Lead Entity and Regional Recovery Organization, and addresses the project lists' fit to the salmon recovery plans. The Lead Entity will prepare presentations on the project list for the SRFB, SRFB Review Panel, HCCC, Puget Sound Partnership, and any other regional bodies based on their specific interests and policies.

Similar to the last grant round, the HCCC is required to forward habitat project lists that meet precisely the allocation funding target provided for our region. This step in the process will be discussed by the TAG and HPLC committees and will be finalized administratively through discussions between the HCCC and affected project sponsors. These affected project sponsors will be required at this time to go back to PRISM and HWS to update their final project applications to reflect any and all financial and/or design changes.

Finally, the HCCC will seek an independent, federal review of how well our proposed summer chum salmon project list fits the Summer Chum Salmon Recovery Plan. Results will be distributed to the HCCC, HCCC Lead Entity, NOPLE, and SRFB for their consideration.

Authority to Remove Projects from the List

The Lead Entity has the authority to remove projects from the lists that do not meet eligibility requirements for SRFB funding.[2] In addition, SRFB has a new policy, in an effort to improve efficiency, that lead entities should only submit projects that "the lead entity wants to be evaluated for funding consideration." This fact, taken together with SRFB's increasing focus on ESA-listed fish/salmon recovery plans, may lead to culling lower priority projects from the project list before it is submitted as final.

PHASE VI: SRFB REVIEW AND FUNDING

In the final phase of the HCCC funding process, the project sponsors and Lead Entity Coordinator will respond as appropriate to information requests on each project and the package as a whole. Special teams from the SRFB, WDFW, and the Puget Sound Nearshore Restoration Partnership will conduct assessment, passage, and nearshore project reviews, while the SRFB Review Panel will conduct a final "project of concern" review and determination. The Lead Entity Coordinator and committee members will present to the SRFB Review Panel, regional recovery organizations (Puget Sound Partnership and Hood Canal Coordinating Council), and SRFB as needed to answer any clarifying questions or address requests for more information. Final project scopes may need to be altered again during this phase.

<u>After SRFB funding decisions have been made, all project agreements will require project sponsors to update progress of their projects in the Habitat Work Schedule at least quarterly to improve communication and reporting.</u>

[2] RCW 77.85.050 and 77.85.130.

APPENDIX A: 2010 Process Timeline

2010 HCCC REGIONAL PROCESS TIMELINE

____ - **Meeting**
____ - ***Deadline***

February/March – Update 3-Year Work Program (3-YWP) by phone/email
March – Update 2010 Process Guide
March 31 – Finalize and distribute both 3-YWP and 2010 Process Guide
TBA – SRFB Application Workshops in Olympia
April 1 to 23 – Preapplications entered by applicants into RCO PRISM database; sponsors also notify lead entity coordinator of each submittal; HCCC staff exports these materials into HWS for the project sponsor
April 28 – Preapplications distributed via HCCC website and HWS
May 11 and 12 – Proposed project presentations and site visits, including TAG, Citizen Committee, SRFB RP members, and NOAA; Agenda TBD
May 26 – Written feedback on preapplications provided to project sponsors
May 27 to June 7 – Final application materials must be updated by applicants into PRISM and HWS databases
June 8 – Final applications distributed via HCCC website and HWS
June 8 to June 17 – Expanded TAG individually reviews and scores each project application while Citizen Committee reviews projects and criteria
June 17 – TAG scores and written comments due electronically to LE Coordinator
June 21 – TAG Technical Ranking meeting;

- Island Lake Community Center; Agenda to be determined

June 24 –Citizens Committee Final Ranking Meeting;

- Island Lake Community Center; Agenda to be determined

July 1 to August 24 – HCCC administrative processing and submittal package preparation; HCCC management of final list to meet allocation; federal reviewers complete independent review for SRFB
August 25 – HCCC final project submittal package due to PS Partnership (chinook) and SRFB (chum); Project sponsors responsible for final application updates to SRFB's PRISM, as communicated with LE Coordinator
September/October – SRFB staff reviews applications for completeness. SRFB RP and subcommittees review projects for "Project of Concern"; HCCC and sponsors work to address any unresolved issues.
September 1 – PSAR 2011-2013 project list due to Puget Sound Partnership; HCCC to prepare and distribute to LE committees
October – HCCC meets with SRFB RP & staff for regional presentations
October 8 – Draft SRFB RP comment forms available
October 27 – Public comments due by 5pm on above
November 19 – Final SRFB Funding Recommendation Report available for public review
December 9 and 10, 2010 – SRFB funding decisions at public meeting; open comment period available to the public and project sponsors

APPENDIX B: Technical Team Evaluation Criteria for 2010 SRFB Grant Round

Hood Canal Coordinating Council – Salmon Recovery Lead Entity
Technical Evaluation Criteria
Version 6.1.2008

- Domain Priorities From 3 Year Work Program (35 points possible)
    - Domain 1 = 35 points
    - Domain 2 = 25 points
    - Domain 3 = 15 points
    - Domain 4 = 5 points

    - Note that Domains are defined on the following 2 pages and that points for this category are pre-assigned by the 3 year work program

- Benefit to Salmon (30 points possible, up to 5 points for each criteria)
    - SRFB definition of high, medium, and low benefits
    - Project scale is appropriate/sufficient
    - Project addresses key limiting factors
    - Protects or restores natural functions and processes
    - Integration or association with other salmon recovery projects and assessments in the watershed
    - Duration of biological benefits

- Certainty of Success (30 points possible, up to 6 points for each criteria)
    - SRFB definition of high, medium, and low certainty
    - Adequacy and appropriateness of project design
    - Sequence is appropriate for watershed conditions
    - Project proponent and their partners' experience and capability
    - Certainty that objectives can be achieved

- Cost Appropriateness (5 points possible)

Domain Definitions Established for Prioritization of the 3 Year Work Program for 2010
Hood Canal Coordinating Council (HCCC) Lead Entity

TABLE 1 – Domain Definitions (adopted from Summer Chum Plan 2005)	
Domain	Definition
1	Natal freshwater and sub-estuarine habitats for 7 extant summer chum subpopulations, 2 extant chinook populations, and 1 extant bull trout subpopulation in the HCCC LE area
2	Natal freshwater and sub-estuarine habitats for 3 re-introduced extinct summer chum subpopulations and all significant nearshore habitats in the HCCC LE area
3	Natal freshwater and sub-estuarine habitats for all remaining extinct summer chum and chinook subpopulations in the HCCC LE area
4	All other habitats including nearshore areas not labeled as significant

Domain terminology is specific to the 3 year work program and is meant to integrate, not replace, multiple Salmon Recovery Plan priorities (Co-managers 2005; HCCC 2005; USFWS 2004; Skokomish in progress). Domain terminology replaces Tier terminology from the HCCC Salmon Habitat Recovery Strategy (9.2005), but can still be further refined by the priority habitat and nearshore habitat regimes developed in the Strategy (Tables 2 and 3 below). Priority habitats discern spawning and rearing habitats (and the processes that support those habitats) for ESA-listed species from habitats for non-listed salmonid species and for habitats without salmonid species into Priority 1, 2, and 3, respectively. Priority 1 and 2 nearshore habitat areas from the Strategy are termed "significant" for inclusion in the domain terminology, while priority 3 and 4 nearshore habitat areas are not termed "significant". Steelhead stocks are not yet incorporated into the priorities in the 3 year work program due to their relatively recent listing under the Endangered Species Act (ESA) and lack of a population analysis. This regime builds on information we hold with some certainty, while our long-term approach is to research juvenile salmonid habitat preferences to further refine this approach in the recovery planning processes and thus the lead entity process.

Domain 1

- 7 extant summer chum salmon subpopulations include the Union, Lilliwaup, Hama Hama, Duckabush, Dosewallips, Quilcenes, and Snow/Salmon.
- 2 extant chinook salmon populations include the Skokomish and Mid-Hood Canal, an aggregate of Hama Hama, Duckabush, and Dosewallips.
- 1 extant bull trout subpopulation includes the Skokomish.
- Natal freshwater and sub-estuarine habitats refer to the freshwater watershed and the associated sub-estuarine habitats within 1 mile of that freshwater watershed. These areas are called out in the Salmon Recovery Plans due to the high level of confidence in their importance to rearing for ESA-listed salmon juveniles.
- The HCCC Lead Entity area is defined through RCW 77.85 as the waters of Hood Canal and the Eastern Strait of Juan de Fuca through the Jefferson County boundary line.

Domain 2

- 3 re-introduced extinct summer chum salmon subpopulations include Chimacum, Big Beef, and Tahuya. The Summer Chum Salmon Recovery Plan (HCCC 2005) notes these as extinct but both it and the Technical Recovery Team Viability Analysis (2007) notes their importance.
- Significant nearshore habitats were adopted from the HCCC Salmon Habitat Recovery Strategy (9.2005), and are further defined in the tables below.

Domain 3

- Remaining watersheds which held extinct summer chum salmon subpopulations are defined in multiple documents including the Summer Chum Salmon Conservation Initiative (Co-managers 2000), Summer Chum Salmon Recovery Plan (HCCC 2005), Summer Chum Salmon Viability Analysis (TRT 2007), and the WDFW spawner survey database.

Domain 4

- This Domain includes remaining watersheds that are not known to have held summer chum salmon, chinook salmon, or bull trout.
- Nearshore habitats not noted as "significant" were adopted from the HCCC Salmon Habitat Recovery Strategy (9.2005), and are further defined in the tables below.

TABLE 2 – Priority Natal Habitat Areas by Domain (adopted from Strategy 9.2005)

	Domain 1, 2, and 3	**Domain 4**
Priority-1	• Listed salmonid distribution • Contributing processes to P-1 segments	
Priority-2	• Non-listed salmonid distribution not identified in P-1 • Contributing processes to P-2 segments	• Non-listed salmonid distribution • Contributing processes to P-2 segments
Priority-3	• Other freshwater habitats	• Other freshwater habitats

TABLE 3 – Priority Nearshore Habitat Areas (adopted from Strategy 9.2005)

Domain	**Nearshore Priority** (Strategy 9.2005)	**Habitats**
"Significant"	Priority-1	• Estuarine deltas associated with Domain 1 watersheds • Tidal marsh complexes and eel grass meadows historically contiguous and within 1 mile of Domain 1 estuarine deltas
"Significant"	Priority-2	• Estuarine deltas associated with Domain 2&3 watersheds • All other tidal marsh complexes and eel grass meadows • Kelp forests and shallow-water shorelines within 1 mile of Domain 1, 2, & 3 estuarine deltas
Not "Significant"	Priority-3	• All other estuarine delta habitat • Kelp forests and shallow-water shorelines farther than 1 mile from Domain 1, 2, & 3 estuarine deltas
Not "Significant"	Priority-4	• Non vegetated sub tidal habitats • Non shallow-water shorelines

APPENDIX C: 2004 SRFB Technical Criteria

Definitions: Benefits to Salmon and Certainty of Success

Fifth Round SRFB Grant Cycle

Identified & Prioritized in the Strategy	**High Benefit Project** Draft, Jan. 5, 2004
Watershed Processes & Habitat Features	Addresses high priority habitat features and/or watershed process that significantly protects or limits the salmonid productivity in the area. Acquisition: More than 60% of the total project area is intact habitat, or if less than 60% project must be a combination that includes restoration. Assessment: Crucial to understanding watershed processes, is directly relevant to project development or sequencing, and will clearly lead to new projects in high priority areas.
Areas & Actions	Is a high priority action located in a high priority geographic area. Assessment: Fills an important data gap in a high priority area.
Scientific	Is identified through a documented habitat assessment.
Species	Addresses multiple species or unique populations of salmonids essential for recovery or ESA-listed fish species or non-listed populations primarily supported by natural spawning. Fish use has been documented.
Life History	Addresses an important life history stage or habitat type that limits the productivity of the salmonid species in the area and/or project addresses multiple life history requirements.
Costs	Has a low cost relative to the predicted benefits for the project type in that location.

Identified & Prioritized in the Strategy	**Medium Benefit Project**
Watershed Processes & Habitat Features	May not address the most important limiting factor but will improve habitat conditions. Acquisition: 40-60% of the total project area is intact habitat, or if less than 40-60% project must be a combination that includes restoration. Assessments: Will lead to new projects in moderate priority areas and is independent of other key conditions being addressed first.

Areas & Actions	May be an important action but in a moderate priority geographic area. <u>Assessment</u>: Fills an important data gap, but is in a moderate priority area.
Scientific	Is identified through a documented habitat assessment or scientific opinion.
Species	Addresses a moderate number of species or unique populations of salmonids essential for recovery or ESA-listed fish species or non-listed populations primarily supported by natural spawning. Fish use has been documented.
Life History	Addresses fewer life history stages or habitat types that limits the productivity of the salmonid species in the area and/or partially addresses fewer life history requirements.
Costs	Has a reasonable cost relative to the predicted benefits for the project type in that location.

Identified & Prioritized in the Strategy	**Low Benefit Project**
Watershed Processes & Habitat Features	Has not been proven to address an important habitat condition in the area.
Areas & Actions	Addresses a lower priority action or geographic area.
Scientific	Is unclear or lacks scientific information about the problem being addressed.
Species	Addresses a single species of a lower priority. Fish use may not have been documented.
Life History	Is unclear about the salmonid life history being addressed.
Costs	Has a high cost relative to the predicted benefits for that particular project type in that location.

Identified & Prioritized in the Strategy	**High Certainty Project**
Appropriate	Scope is appropriate to meet its goals and objectives.
Approach	Is consistent with proven scientific methods. <u>Assessment:</u> Methodology will effectively address an information/data gap or lead to effective implementation of prioritized projects within one-to-two years of completion.
Sequence	Is in the correct sequence and is independent of other actions being taken first.
Threat	Addresses a high potential threat to salmonid habitat.
Stewardship	Clearly describes and funds stewardship of the area or facility for more than 10 years.
Landowner	Landowners are willing to have work done.
Implementation	Actions are scheduled, funded, and ready to take place and have few or no known constraints to successful implementation as well as other projects that may result from this project.

Identified & Prioritized in the Strategy	Medium Certainty Project
Appropriate	Is moderately appropriate to meet its goals and objectives.
Approach	Uses scientific methods that may have been tested but the results are incomplete. Assessment: Methods will effectively address an information/data gap or lead to effective implementation of prioritized projects within three-to-five years of completion.
Sequence	Is dependent on other actions being taken first that are outside the scope of this project.
Threat	Addresses a moderate potential threat to salmonid habitat.
Stewardship	Clearly describes but does not fund stewardship of the area or facility for more than 10 years.
Landowner	Landowners may have been contacted and are likely to allow work to be done.
Implementation	Has few or no known constraints to successful implementation as well as other projects that may result from this project.

Identified & Prioritized in the Strategy	Low Certainty Project
Appropriate	It is unclear how the goals and objectives will be met.
Approach	Uses methods that have not been tested or proven to be effective in past uses.
Sequence	May be in the wrong sequence with other protection and restoration actions.
Threat	Addresses a low potential for a threat to salmonid habitat.
Stewardship	Does not describe or fund stewardship of the area or facility.
Landowner	Landowner willingness is unknown.
Implementation	Actions are unscheduled, unfunded, and not ready to take place and has several constraints to successful implementation.

APPENDIX D: Habitat Project List Committee Evaluation Criteria for 2010 Grant Round

HOOD CANAL COORDINATING COUNCIL LEAD ENTITY

The following criteria will be used by the Habitat Project List Committee (HPLC) to evaluate, affirm or re-rank the Technical Advisory Group's draft prioritized project lists into the final prioritized lists for submission to the Salmon Recovery Funding Board (SRFB). The HPLC will not reconsider or use the TAG technical criteria. The objective of the HPLC is to consider those non-technical factors of community impact, educational value and relative project cost, while certifying that the final project list is moving steadily and directly towards habitat recovery.

These criteria have been taken from our local process over the past funding rounds and are consistent with the direction of the SRFB towards consideration of socioeconomic factors of salmon recovery projects.

COMMUNITY IMPACT & EDUCATION ISSUES

- Does the surrounding community support this project? Who is that community and how can you substantiate that support?
- Is there any community opposition to this project? Who is opposed and how will you address that opposition?
- Does this project have any educational value? Who is being educated, what are they being educated about, and how can you substantiate that? Will this project educate the public and raise their awareness about salmon and habitat protection/restoration issues?
- Will this project receive any publicity/visibility? How and whose attention will it gain? Will publicity be helpful to salmon recovery efforts?
- Will this project elicit more support in the future? From whom and how?

PROJECT COST ISSUES

- Is this project expensive relative to other projects on the list? Is that expense justified? How did you determine the expense is justified?
- If this project is funded, will it bump other (or several other) good projects out of probable contention for funding, based on historical HCCC Lead Entity SRFB funding?
- Is this project appropriate for SRFB Partnership Salmon Funds?

PROGRESS TOWARDS SALMON HABITAT RECOVERY

- Is the cumulative effect of the list of projects moving us closer to federal delisting of salmon?

APPENDIX E: 2010 Lead Entity Groundrules

GROUND RULES
Hood Canal Coordinating Council Lead Entity
Salmon Recovery Funding Board (SRFB) Process

The purpose of ground rules is to provide a framework for fruitful discussion and exchange that guides rather than constrains interactions and make explicit the common expectations with which the participants undertake the lead entity salmon recovery funding process and participate on the Hood Canal Coordinating Council (HCCC) Lead Entity Committees. The Lead Entity Committees include both the Technical Team (Tech Team) and the Habitat Project List Committee (HPLC). These rules describe the purpose of the process, the manner in which the several interests are structured for effective participation, the decision-making process, the responsibilities of the participants to one another and to the constituents, and the conduct for decision-making.

These ground rules are intended to facilitate discussions and salmon recovery efforts under the lead entity organization legislation (RCW 77.85). Should a conflict with that legislation arise from these ground rules, the legislation will prevail.

Participating in the lead entity process as a member of the Lead Entity Joint Committee signals an understanding and acceptance of the ground rules, as adopted by the Lead Entity Committees. The ground rules are described below:

I. PURPOSE

The purpose of the Lead Entity Committees are to collectively assess the portfolio of salmon recovery projects submitted to the Lead Entity and develop a final ranked project list for funding to the SRFB. The final ranked list must be consistent with the current salmon recovery plans and 3 year work program for Hood Canal & the Eastern Strait of Juan de Fuca, and the current funding cycle policies developed by the SRFB, including any changes or additions made to these documents that are pertinent to this cycle of funding.

II. DEFINITIONS

Conflict of Interest: A condition where a lead entity member directly benefits financially or otherwise by forwarding a project, sits on the applicant's Board of Advisors, and/or is significantly involved in the development of a project.

Consensus: The explicit concurrence of all caucus members. Consensus is defined as a decision that allows each member to say, "The group I represent can live with the decision and accept it, whether or not it is exactly what we want." While consensus is generally unanimous agreement on a topic, it can

also include formal disagreement with the decision for the record, while agreeing to accept the majority decision. To achieve consensus, group members typically try to address concerns and objections, make adjustments and concessions, rather than argue for their point of view.

HCCC: Hood Canal Coordinating Council

HPLC: Habitat Project List Committee. The HPLC is responsible for the final ranking of projects for funding request submitted to the SRFB using technical rankings from the Tech Team as their starting base. From there, the HPLC will use a set of criteria that incorporates social and cost factors, as well as linkage to the ESA Salmon Recovery Plans and 3 Year Work Program.

Majority: A majority, representing at least 51% of the total caucus, will rule voting decisions by the Lead Entity Committees.

SRFB: Washington State Salmon Recovery Funding Board.

Tech Team: Members of the Technical Team responsible for ranking the projects based on an established set of technical criteria.

Voting member: Voting members on the Tech Team are those that sit on the Tech Team to evaluate projects based on established technical criteria. Voting members of the HPLC will be citizen members and one project sponsor representing each past and present sponsor group. A voting decision can either be through unanimous consensus or through majority vote, though we will always strive to reach consensus if at all possible.

III. ROLES AND RESPONSIBILITY OF THE LEAD ENTITY COMMITTEES

- Team members agree that the overall HCCC Lead Entity process is evolving each year, but that in the given year, the process is identified, set and cannot be changed mid-process.
- Team members will collaborate to establish a final ranked list of projects, consistent with the HCCC Summer Chum Salmon Recovery Plan, the Chinook Salmon Recovery Plans, and the Draft Bull Trout Recovery Plan, as well as SRFB policies.
- Disagreement should be constructive and focused on the issues rather than on perceptions of motives or relationships and personalities.
- Everyone must have a chance to be heard. Side conversations are discouraged and should be taken out of the room if necessary. Questions are encouraged to solve problems or educate others. Team members are expected to state their interests and not just their positions.
- Team members should be sensitive of the length of their comments in order to encourage equal participation from the Team.
- Once the agenda is set, team members will stick to topic and time.

- $ The building block process is focused on earlier work, so the HPLC will use as a foundation the work and prioritization of the Tech Team.

IV. ROLES AND RESPONSIBILITY OF THE FACILITATORS

- $ The facilitators are impartial individuals who guide committees through their meeting objectives.
- $ The responsibility of the facilitators is to keep the group focused on the agreed upon tasks, to suggest alternatives, and to encourage participation by all team members.
- $ The facilitators will adhere to these ground rules.

V. TECHNICAL TEAM MEMBERS

- $ Tech Team members will score projects based on a set of criteria developed from multiple years of evaluation of habitat projects.
- $ Tech Team members will hold their results confidential during their independent evaluation process from July 21 to July 30. The specific individual technical rankings will not be released, nor will individual statements or comments by the Tech Team.
- $ Tech Team members are not representatives of a caucus and therefore hold impartial analysis of each project based solely on technical merit.
- $ In the event of a conflict of interest during a meeting, either real or perceived, the affected Tech Team member will make their interest known to the rest of the Team and the group will determine by consensus that person's level of participation in evaluating and ranking that project or set of projects. In addition, conflicted reviewers can not provide project evaluations and scores for their projects during the independent review phase.
- $ Tech Team members **cannot** participate on the HPLC.
- $ At least one Tech Team member will be present at the HPLC meeting to answer clarifying questions and correct technical inaccuracies.

VI. HABITAT PROJECT LIST COMMITTEE MEMBERS

- $ HPLC members consist of balanced number of citizens from each of our geographic regions, and one representative from each past and present project sponsor organization.
- $ In the event of a conflict of interest, either real or perceived, the affected HPLC member will make their interest known to the rest of the committee and the group will determine by consensus that person's level of participation in evaluating and ranking that project or set of projects.
- $ HPLC members will develop a final ranked list of projects from the draft preliminary list, based on previously established criteria, largely focused on social and cost issues as well as linkage with the salmon recovery plans.
- $ HPLC members will not re-evaluate projects based upon technical criteria.

- $ The desire is for the HPLC to reach consensus on the final ranked lists with the option of using majority vote on those issues for which consensus is not possible.
- $ Ultimate decisions of the HPLC are made by the voting member caucus and cannot be changed.

VII. DECISION-MAKING

- $ Agreement on ranked project lists is by consensus or voting of the Tech Team and HPLC. However, it is our intent to avoid voting if at all possible.
- $ At the HPLC, to move a project up or down on a list, an HPLC member must make a motion regarding which specific project is to be moved, specifically where on the list it is to be moved, and what the rationale is for moving that project (related to the previously stated review criteria).
- $ In the event of a tie vote, the particular motion to move a project up or down the list will not be approved.

VIII. AMENDMENT OF THE GROUNDRULES

These ground rules may be amended by consensus of the members of the Lead Entity Committees as the particular section pertains to them.

Appendix F: 2009 SRFB Lead Entity Participants

Hood Canal Coordinating Council
Habitat Project List Committee and Technical Advisory Group Roster

***Note that Committee Rosters are updated during each grant round.**

Technical Advisory Group

- Peter Bahls, NWI
- Richard Brocksmith, HCCC
- John Cambalik, Puget Sound Partnership
- Luke Cherney, HCCC
- Carrie Cook-Tabor, US Fish & Wildlife Service
- Hans Daubenberger, Port Gamble S'Klallam Tribe
- Janet Aubin, Port Gamble S'klallam Tribe
- Byron Rot, Jamestown S'klallam Tribe
- Dan Hannafious, HCSEG
- Thom Hooper, NOAA
- Susan Bishop, NOAA
- Matt Longenbaugh, NOAA
- Tim Tynan, NOAA
- Thom Johnson, WDFW
- Doris Small, WDFW
- Michael Blanton, WDFW
- Marc McHenry, US Forest Service
- Kathy Peters, Kitsap County
- Tami Pokorny, Jefferson County
- Alex Gouley, Skokomish Tribe

Habitat Project List Committee

Citizen Representatives

- Phil Best
- Vern Rutter
- Richard Wojt
- Tom Springer

Project Sponsors

- Great Peninsula Conservancy (GPC)
- Hood Canal Salmon Enhancement Group (HCSEG)
- Jefferson County Marine Resources Committee
- Jefferson Land Trust (JLT)
- Long Live The Kings (LLTK)
- Mason Conservation District (MCD)
- North Olympic Land Trust
- North Olympic Salmon Coalition (NOSC)
- Northwest Watershed Institute (NWI)
- Pacific Northwest Salmon Center
- Port Gamble S'Klallam Tribe
- Skokomish Tribe
- Wild Fish Conservancy
- Various state agencies