



STATE OF WASHINGTON

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March 1, 2007

TO: SRFB Members and Designees

FROM: Neil Aaland
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SUBJECT: Analysis of Responses to 2007 Homework Assignment

Background

The SRFB discussed how to proceed with the 2007 grant round at its meeting on January 25, 2007. In addition to providing some initial direction, they decided to ask Lead Entities and Regions to provide input by answering a series of questions. This is similar to the "homework assignment" used during the 2006 grant round to aid the SRFB in developing a grant round that implemented the Issues Task Force (ITF) recommendations.

The present homework assignment was designed to assist in answering questions for the 2007 grant round. Responses were due from Lead Entities and Regions by February 20, 2007. Responses were received from all except the Pend Oreille Lead Entity in time to be included in this staff analysis memo.

The following general topics were addressed in the homework assignment:

1. Intra-regional funding allocations
2. Local technical review
3. Public participation
4. SRFB Review Panel (RP)
5. Relationships between Habitat work schedules and project lists
6. Relationships to target regional allocations
7. Other comments



Summary of responses

Detailed responses are listed in the tables following this memo, and copies of the actual responses are included in the SRFB packet. Staff recommendations as a result of this information will be reflected in the briefing memo prepared as a separate agenda item.

1. *Intra-regional funding allocations:* In general, discussions within most regions are continuing on this issue. Those regions using biological and/or geographic criteria appear to be staying with those criteria, or doing only minor tweaks. Those that used historical allocations as the basis in 2006 are moving toward biological and/or geographic criteria. Several regions want to use between 5-20 percent of their allocation for research/data gaps, and three have raised idea that the SRFB might at some point authorize using a percentage of the available funding for monitoring.
2. *Local technical review:* Responses indicate the local (including regional) technical review processes will remain basically unchanged from the 2006 round. Clarifications were provided on technical reviews within each region.

On the question of the independence of local (including regional) technical review, most respondents have adopted conflict of interest policies. These policies generally require reviewers to recuse themselves if they or their employers have some type of an interest in a given project or outcome being reviewed. Some respondents mentioned the federal adoption process for their recovery plan, which provided a separate independent review.

Another question asked about the type of interactions between the regional technical review process and the SRFB RP. The general assessment is that RP involvement from the very beginning was productive and useful. The RP's statewide perspective and interface with local technical reviewers helped make projects better. Those lead entities with pre-proposal procedures generally want RP participation beginning at that point. There were several comments that the role of the RP should focus on project review and POCs, not on reviewing regional efforts. Finally, non-recovery plan Lead Entities understand the role that RP needs to play with strategy review, and recommended no changes.

3. *Public participation:* The homework asked about openness and participation from both the general public and from local governments. Open meetings are the norm. For the general public, respondents generally used some combination of press releases, website posting, e-mail and print distribution, and display ads at some points. Respondents working with recovery plans also cited the public process required as part of federal adoption. Several comments were made that despite efforts, limited public participation has occurred. Relatively little comment was provided on local government participation; however, several respondents cited participation by local government representatives as members of their Boards or Lead Entities. Only a few changes are proposed by respondents for public and local government participation.

4. *SRFB Review Panel*: Respondents were asked for comments on the role of the RP and whether to formally allocate the RP's time by region in some manner. Respondents generally believe that the RP's primary role is ensuring projects are technically well-designed. Respondents did not directly comment on the "over-the-shoulder" or "oversight" role the SRFB asked the RP to perform in 2006. Most commented that early involvement and participation in project reviews were extremely helpful, and that June and July appear to be critical times for RP involvement. Several comments were made that the RP role near the end of the process needs clarification. Examples include:

- The review for POCs by the entire SRFB Review Panel should occur earlier;
- Early and specific communication about project issues is needed;
- A process is needed for resolving differences of opinion regarding the application of eligibility criteria is needed [staff comment: this is not so much an RP issue as a SRFB staff and eligibility clarification issue]; and
- The current RP is not well suited to role of *evaluating* regional review processes (italics added – in 2006 the RP provided descriptive comments but no evaluations of regional review processes).

Regarding formally allocating the RP time by regions, only three responses were submitted. One commenter said this should occur, and two others said this was not necessary. One of those latter two suggested allocating time by LE rather than by region.

5. *Relationships between habitat work schedules/implementation plans and project lists*: This topic asked several questions about the relationships between implementation plans and habitat work schedules (HWS), and the project lists ultimately prepared by lead entities. With very few exceptions, respondents generally indicated that this year, project lists will draw from multi-year implementation plans and HWSs, and this will continue for future rounds.

Respondents also said that technical review of multi-year implementation plans and HWS already occurs by local or regional technical developers and/or existing local review processes (including federal plan reviewers), or it will be occurring on a regular basis starting this year.

Finally, multiple responses suggest the SRFB should consider allowing between 5-20% of regional allocation to fill research/data gaps. Some suggested that such projects needed to be aligned with the research needs identified in recovery plans. At least two regions identified other funding sources for research/data gaps. Some also suggested that the SRFB consider eligibility of funding of monitoring associated with recovery plan needs at some point.

6. *Relationships to target regional allocations:* All but one respondent anticipates that lists will be submitted meeting the target allocations.

Most respondents acknowledged the complexity of allowing cost and scope changes prior to the SRFB's funding meeting, but nevertheless recommended that it be allowed. Several respondents pointed out this may require re-ranking by LE committees, and that RP time should be reserved to review such projects to ensure technical merit.

There was unanimous agreement that additional projects beyond the allocation should be allowed to be submitted, primarily to serve as a contingency in case other projects on the approved lists are removed (which can occur for a variety of reasons). One suggestion was made that a cap be placed on such additional projects, either a percentage of the target allocation or a stated number of additional projects that can be submitted.

7. *Other comments made by respondents:*

- SRFB should begin work on developing another incremental adjustment in the transitional regional target allocations for 2008 (two respondents)
- The Puget Sound Region asks the SRFB to consider funding research and/or projects that cross Lead Entity boundaries under criteria developed by the Region and lead entities
- Allowances should be made for sponsors who have not yet secured cost share due to the timing of other grant cycles (e.g. BPA, WWRP)
- Regions should be given full authority to manage regional allotments, including ability to move unspent funds and retain funds across funding cycles

Attachment - A
Revised draft statewide summary of 2007 technical review roles by salmon recovery region

Salmon recovery region	Independent technical review of recovery plans (elements, strategic, certainty)	Technical review of lead entity strategies (focus, quality)	Technical review of multiyear project implementation plans or habitat work schedules (strategic fit and sequencing to plans or strategies)	Technical review of project lists (strategic fit and sequencing to plans or strategies)	Technical review of individual habitat projects (design, benefit and certainty, POC)
Puget Sound	PS TRT: ESU scale, and watershed chapters	PS lead entities	PS TRT reviews 3-year work plans and provides guidance and comments	PS TRT reviewed individual watershed strategies for consistency with plan, and performs "consistency check" on final list	SRFB RP
Hood Canal	PS TRT: ESU scale, and conservation unit chapters	na	PS TRT reviewed 3-year CIPs for consistency with hypotheses and strategies in recovery plans	PS TRT reviewed individual conservation unit strategies for consistency with plans; Specific project lists quickly reviewed by PS TRT for consistency with capitol improvement programs (CIP)	Regional review team with invited membership from PS TRT, SRFB RP, and local TAG; independent SRFB RP
Lower Columbia	WLC TRT	na	LC TAC develops and reviews	LC TAC	LC TAG; SRFB RP
Mid-Columbia/Yakima	IC TRT - informal	na	Yakima – Yakima TAG	Yakima – Yakima TAG; Klickitat - SRFB RP	Yakima – Yakima TAG; SRFB RP
Upper Columbia	IC TRT	na	Watershed teams and lead entities develop; no further review	UC RTT	UC RTT; SRFB RP
Snake	IC TRT	na	S RTT develops and reviews for consistency with plan	S RTT	S RTT; SRFB RP
Northeast Coast	na	SRFB RP	SRFB RP?	SRFB RP	SRFB RP
	na	SRFB RP	SRFB RP	SRFB RP	SRFB RP

List of acronyms:

ESU	Evolutionarily Significant Unit
IC TRT	Interior Columbia Technical Recovery Team
LC TAC	Lower Columbia Technical Advisory Committee
POC	Project of Concern
PS TRT	Puget Sound Technical Recovery Team
S RTT	Snake Regional Technical Team
SRFB RP	Salmon Recovery Funding Board Review Panel
TAC	Technical Advisory Committee
TAG	Technical Advisory Group
UC RTT	Upper Columbia Regional Technical Team
WLC TRT	Willamette/Lower Columbia Technical Recovery Team

Attachment B

Homework Assignment Responses

1. Coast
2. Hood Canal
3. Lower Columbia
4. Mid-Columbia – Klickitat Portion
5. Mid-Columbia – Yakima Portion
6. Puget Sound
7. Snake River
8. Upper Columbia

2007 SRFB Grant Cycle

Homework Assignment for Salmon Recovery Regions

Due date: 8:00 a.m. February 20, 2007

REGION: Coast
PREPARED BY: Lead Entity Coordinators-Cheryl Baumann, John Sims, Lee Napier, and Mike Johnson
DATE PREPARED: February 20, 2007

Questions:

1. Intra-regional Funding Allocations:

- What changes, if any, will you be making to the *criteria* for determining your intra-regional funding allocations?

Last year's funding criteria within the coastal region was a transitional formula adopted for one year only. Due to our staffing and time constraints and starting the regional exploration process, the coastal lead entity coordinators have not yet begun discussions about what the funding formula will be for the 8th SRFB Grant Round. We expect to begin those discussions shortly.

During the 7th Round, we developed a coast intraregional funding allocation. Our criteria for this round included:

- Number of WRIAs
- Number of stream & nearshore/estuary miles
- Number of Depressed/Critical/listed stocks (including bull trout), and
- Historical funding.

Feedback from some local technical reviewers indicates an interest in deleting the number of WRIA's because they feel that criteria is redundant and covered under the miles criteria.

- What changes do you anticipate making in the *actual funding* allocations?

The intraregional suballocation formula worked in Round 7, primarily because two WRIA's (20 and 24) had short project lists, allowing WRIA's 21 and 22/23 to reallocate the surplus to cover the top two projects in their respective lists. It was an unusual situation, not expected to be repeated in Round 8. A new approach must be found. At this time, the lead entity coordinators and stakeholders for the coast have not discussed funding allocations for the 8th round. We do anticipate determining an intra-regional allocation based on the funding allocation still open for discussion.

- Does your regional organization want to allocate a portion of its target allocation to the highest priority needs for *research and/or /data gaps*, as identified in your

recovery plan? If so, what portion of your allocation would you use for this, either at the lead entity or regional level?

This question does not apply to the Coast at this time. Once our regional capacity work is complete (June 2007), we may discuss the need to fill data gaps/research. We will also know more once discussions on this issue have been commenced with the coastal lead entity coordinators.

- What direction on this topic should the SRFB provide for the 2007 grant cycle and the 2008 grant cycle?

2. Local Technical Review (for the region and their associated lead entities/watershed(s), as appropriate):

- Describe the local technical review process in your region, and the type and rationale for the interaction(s) you think should occur between your local technical review process and the SRFB Review Panel.

Each of the four lead entities for the coast region organize their local review panel.

The lead entity for WRIA 24 will set up a date for the SRFB review panel, local TAG and Citizen's Committee to look at the project sites together. After all sites have been reviewed, the local committees will meet with the SRFB review panel to discuss the projects and get a better understanding of each project from both review panel perspectives.

In the Chehalis Lead Entity, the local review panel examines pre-proposal materials, visits each site, reviews the complete application and then independently rates the applications. The results of the independent review result in a prioritized list for the lead entity. Ideally, this lead entity would like the SRFB review panel to accompany the local review panel on the site visits tentatively scheduled for June. This would allow direct technical discussions to occur between the two review panels.

WRIA 20, as part of the North Olympic Peninsula Lead Entity(NOPLE), has always required pre-proposals which are vetted by our local technical review group. NOPLE'S technical review group has gone on field trips to view project sites with a member of the SRFB's technical team. Final presentations by applicants are also required. It would be helpful if the SRFB's technical review team member could attend the pre-proposal presentation as well as the field trip.

WRIA 21 conducts a technical review through its Technical Review Group (TRG), whose membership is comprised of state, Federal, and tribal voting members. These members are scientific members of their respective organizations (e.g., civil engineer, fisheries biologists, forester). They require pre-proposals from prospective sponsors, followed by site visits, in turn followed by technical ranking. We agree with our colleagues that the best use of Review Panel involvement with us is for their representatives to sit in on the pre-proposal presentations, and to accompany our technical team to the field, offering their

suggestions and comments. We have found the participation of the Review Panel via their early technical reviews to have been especially helpful over the years.

- What changes will you be making to your local technical review for the 2007 grant cycle – and what additional direction do you think the SRFB should provide regarding local technical review?

WRIA #24 will have the same process for the review panel as last year. This lead entity will try to set a date for site review (May or early June) and include all parties. It will allow the SRFB review panel more time to work with the LE on POC's. There has to be a balance in timing for this process to insure the SRFB review panel has adequate information in their decision making process to avoid POC determinations in November.

No changes proposed for the Chehalis Lead Entity. We plan to organize site visits with the local and if possible SRFB review panel in May or early June.

WRIA 20 and NOBLE are currently reorganizing in two separate technical review groups, one for the coast and one for WRIA 17, 18 & 19. One consideration is for expanding participation in the local technical review groups.

WRIA 21 does not envision any changes for this round, other than updating the habitat recovery strategy. This will be the first such effort in two years, and will be based upon about ten new studies published since 2005.

- What improvements to Attachment-A would help clarify how technical review has and will occur in your region?

Provide funding to allow the SRFB Review Panel to work with the lead entities as they refine their strategies. The current allocation of time is inadequate to process and respond to their comments related to our strategies.

- The SRFB has stressed the importance of the local technical reviews being *independent*.
 - Describe what "*independent*" means to you.
 - To what extent is your local technical review currently independent and in what way(s) do you expect it to change?
 - What guidelines should the SRFB provide to better achieve "independent technical reviews"?

One proposed change for WRIA 20 is possibly expanding participation in the TRG. There is a subcommittee which includes members of both WRIA 20 and NOBLE currently working on this issue.

"Independent" means, able to maintain an unbiased view while ranking projects. This means, in most cases, recusing any voting member when they or someone in their immediate organization are a project sponsor.

So far as the Review Panel making a judgment call on how independent a member of the local process is, we see it as a step outside their technical review

charter. It reminds us of when, in the early going, Review Panels were commenting on how well citizens were engaging in the process. We recommend that the Review Panel not go there.

3. Public Participation:

The SRFB has stated its preference for local citizen and stakeholder participation to be active, transparent and engaged. Towards this end:

- To what extent is your local process open to the *public and local governments* and how did it work in 2006?

The WRIA #24 LE promotes its process through monthly Public Citizen Committee meetings and quarterly TAG meetings. We submit RFP's through local media sources and depend upon members of the committees to promote and engage discussions amongst their peers. Our LE is somewhat large in terms of river miles and nearshore habitat, but our population within WRIA #24 is very small, approximately 21,000 residents. Often we do not have enough interested participants within our committees, although over the past year, we have recruited a few new committee members.

The Chehalis Lead Entity submitted a list of projects developed during 2005. At that time, we announced through the Drops of Water publication that we were soliciting pre-proposal applications. We hosted monthly meetings of the planning unit and the habitat work group that are all open to the public. A variety of committee members promote the habitat work programs in the Chehalis Basin and encourage potential participants to contact the lead entity coordinator. Chehalis Basin hosts information related to the lead entity program on their website.

We have worked to increase citizen participation in WRIA 20 in the past year and it has been successful in bringing several new members of the public in. They have been actively attending LEG meetings and participating with our regional coastal exploration process. Our 8th round SRFB process will be open to the public and citizens and the public will be invited to participate throughout the entire process, including hearing pre-proposal and final application presentations and attending site visits

WRIA 21 is even more rural and sparsely populated than 24, with only a few thousand citizens, including the Quinault Indian Reservation. We have struggled over the years to find a way to engage citizens, but to date find that, except for a few non-tribal people and a very involved County Commissioner, the majority of our citizen involvement comes from the elected government members of the Quinault Indian Nation. The prevailing view off-Reservation has appeared to be to not engage for reasons not clearly understood. We continue to work on this aspect. After technical ranking and Review Panel input, the citizen members from QIN, plus any technical and local residents, meet to determine final ranking. We continue to strive to find ways of making this stage of the process more robust. There is a significant population in the coastal south area (Copalis and Moclips Rivers) that could be engaged, if they believed projects proposed there would fare well in the technical rankings. This is because both of these watersheds are

classed as “medium priority” in our strategy, and thus have not produced anything competitive. This will be given serious new thought as the revised strategy comes out in March 2007.

- What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?

In the Chehalis Lead Entity, we intend to host community workshops to gather input regarding our habitat strategy and to identify new project sponsors or new sites for projects.

In WRIA 20 we will be making sure our local SRFB schedule is well advertised and publicized throughout the process to garner more public participation. We have also reached out to stakeholders and citizens and invited them to participate in this work. We have assisted with carpooling & encouraged gathering for lunch prior to meetings to help with community building.

4. SRFB Review Panel:

- What role should the Review Panel play, and how would it be different from 2006?

It appears that the review panel would play a similar role as they did in 2006, but it would help to have them available earlier to assist with strategy development and have them at pre-proposal presentations and field trips. Early access allows lead entities who want to start the SRFB process earlier to do so. All four lead entities are attempting to start ASAP.

- Should the Review Panel's *time* be allocated by region, given the Panel's time and budget constraints? If so, clarify the basis for the allocation, when the resources of the Review Panel would be needed (e.g., early, late), and what their focus would be.

It may make sense to allocate the time by region, but at this juncture, the coast region needs some flexibility with a regional time allocation. We suggest the SRFB determine a regional time budget, with the understanding that each lead entity will request site visits from the SRFB Review Panel.

We could also utilize the Review Panel's assistance now to help with strategy development and refinement.

At a minimum, each lead entity would need a day and then a day for regional discussions.

NOPLE is hoping to have pre-proposals due sometime in May, with field trips and presentation in early June.

5. Relationships Between Multi-Year Implementation Plans and/or Habitat Work Schedules and Actual Project Lists. Towards This End:

- Describe your implementation plans and/or habitat work schedules and how they will be used to develop project lists.

Neither the region nor the coast lead entities have developed implementation plans. Some lead entities are awaiting the outcome of the WDFW habitat work schedule project to determine how to use this tool (software). WRIA 20 will likely develop a project list as part of draft Lake Ozette Sockeye Recovery Plan.

- Describe the extent to which the technical reviews of implementation plans and/or habitat work schedules have occurred (or will occur), as a means to ensure consistency with strategies and recovery plans, and the extent to which your project lists are a part of that review. (See Attachment-A for a draft summary of the various technical review roles by salmon recovery region.)

N/A- SEE ABOVE.

- To what extent will you use *pre-application workshops* to obtain key project information from applicants early in the 2007 grant cycle?

WRIA #24 will solicit pre-proposals in April that will be due to the LE by early May 2007. The LE will work with project sponsors for the 8th round. If several sponsors come forward, we will also hold a sponsor workshop.

Chehalis Basin Lead Entity intends to solicit pre-application proposals during the months of March and April. Upon receipt of the pre-applications, the lead entity will host a workshop in April to further review the proposals and provide local technical input.

NOPLA intends to have pre-proposals due sometime in May. This process includes presentations and field trips. The information collected will be reviewed by local technical review group with input provided back to project sponsors.

WRIA 21 plans to follow a similar schedule: preproposals due sometime in May, technical site visits (including Review Panel participation) in June, and final project submissions in July.

- What specific *research and/or data gaps* stand in the way of implementing your three-year project list? Do you believe SRFB is the appropriate source of funding for these? What other potential funding sources exist to address research and/or data gaps?

N/A

6. Relationships to Target Regional Allocations:

- How closely will your list of projects adhere to the SRFB's *target allocation* amounts, and by what date will this list be completed?

The Coast region will follow the direction of the SRFB, which indicated project lists should meet the target allocation. By the September deadline, we will compile a list of projects that meet the target allocation.

- Should the SRFB allow sponsors to make *post-funding* scope or cost changes decided in November and early December 2007, if needed to fit regional allocations? What are the process implications for you and the SRFB, and how would the Review Panel be involved?

Based on LEAG discussions, this question is difficult to answer. However, during the 7th Round, each lead entity for the coast worked independently with the sponsor, IAC staff and the SRFB Review Panel to revise their scope of work when necessary. Primarily to remove POC designations.

We also set as a ground rule that we would not submit POC's on our final list to the SRFB. For the 7th Round, this meant after the November SRFB Review Panel meeting.

Based on our experience during the 7th round, the coast region thinks it is beneficial for sponsor to be able to make post funding scope or cost changes until just before the final SRFB decision. This can and will occur as we try to hit funding allocation levels (regional and intra-regional), which change depending on whether our colleagues have additional funding available or not as well as how potential POCS can impact this process.

- Should the SRFB encourage regional organizations or lead entities to submit *additional projects* in the event that a portion of the regional allocation is not used due to a funded project being withdrawn or receiving funding from a non-SRFB source?

Yes, but the regions determine how many projects. The SRFB should make it clear that each region is still responsible to determine which project(s) meet their target allocation and not to expect the SRFB to "top off" projects, if the list exceeds the allocation.

7. Other Recommendations for the SRFB Regarding:

- Streamlining the 2007 grant process, including the review and revision of project proposals? In answering this question, please remember the importance of the SRFB being able to demonstrate to state and federal lawmakers the transparency and effectiveness of the salmon recovery program.
- Modifying or clarifying project eligibility criteria (e.g. research, assessments, or other)?
- What else would you like the SRFB to consider as they develop policy and set the expectations for the 2007 grant round?
- Which of the above issues are better suited for resolution in the 2008 grant round?

The more information and clarification around project eligibility criteria that we can have at the start of the process the better. That enables project sponsors and lead entities to make the best decisions possible and avoid confusion.

The entire statewide allocation process needs to be reviewed and probably recalculated for 2008. The current approach is/was termed "transition" for good reason: we did not know enough about how plans and strategies would be evolving during this period. The 2006/2007 transition period will be ending with the close of Round 8. It is strongly recommended that the SRFB and lead entities/COR begin now to develop a fresh approach. This will be especially important if Puget Sound receives any legislative add-ons in 2007/8.

- Changes will not be known until project vetting and ranking has occurred, as the HCCC process is rank based, not pre-allocated. We believe this is the most appropriate methodology which ensures that the most logical projects for summer chum salmon recovery are funded each year rather than spreading the allocation around.
- Does your regional organization want to allocate a portion of its target allocation to the highest priority needs for *research and/or /data gaps*, as identified in your recovery plan? If so, what portion of your allocation would you use for this, either at the lead entity or regional level?
 - This question is currently in review by the HCCC, member governments, and lead entity committees. If considered critical to undertake immediately, research costs would not exceed 5% of regional target allocation.
- What direction on this topic should the SRFB provide for the 2007 grant cycle and the 2008 grant cycle?
 - We support a policy that allows regional recovery organizations, member governments, NOAA PS TRT, and lead entity committee members to review and either support or not support applications as appropriate, as long as requests do not exceed 5% of regional target allocation.

2. Local Technical Review (for the region and their associated lead entities/watershed(s), as appropriate):

- Describe the local technical review process in your region, and the type and rationale for the interaction(s) you think should occur between your local technical review process and the SRFB Review Panel.
 - As with last year, we will work to create a regional review team that includes local TAG, SRFB Review Panel (RP), and NOAA TRT members to improve communication and our proposed projects.
 - In addition, we continue to support an independent review of our 3 year CIP project list by the TRT for consistency with our four salmon recovery plans, plus an independent review of our proposed project list for SRFB funding by the SRFB RP for Projects of Concern (POC) and fiscal accountability.
- What changes will you be making to your local technical review for the 2007 grant cycle – and what additional direction do you think the SRFB should provide regarding local technical review?
 - No changes are proposed within the HCCC LE.
- What improvements to Attachment-A would help clarify how technical review has and will occur in your region?
 - See track changes in Attachment-A.
- The SRFB has stressed the importance of the local technical reviews being *independent*.
- Describe what “*independent*” means to you.
 - Independent means federal oversight of plan content during adoption, TRT review of 3 year CIPs, and SRFB RP review for POCs.

- To what extent is your local technical review currently independent and in what way(s) do you expect it to change?
 - The HCCC LE maintains conflict of interest policies in our annually updated Process Guide. Specifically, that policy states the definition of conflict of interest to be “a lead entity member that directly benefits from, or is significantly involved in the development of, a project.” Specific groundrules of both the TAG and CAG committees states that “in the event of a conflict of interest, either real or perceived, the affected member will make their interest known to the rest of the group who will determine by consensus that person’s level of participation in evaluating and ranking that project or set of projects.” We believe this strikes the right balance of project improvement through full discourse, with a process that is transparent and consensus-based in addressing conflict of interest.
- What guidelines should the SRFB provide to better achieve “independent technical reviews”?
 - Review of this comprehensive, hierarchical review process should provide SRFB with information needed to certify our regional review process for this and future rounds.

3. Public Participation:

The SRFB has stated its preference for local citizen and stakeholder participation to be active, transparent and engaged. Towards this end:

- To what extent is your local process open to the *public and local governments* and how did it work in 2006?
 - All meetings are announced on our website, by email distribution, and through media releases to newspapers of record. All meetings have a public comment period. All local governments are invited to participate in the formal process, and are briefed at the HCCC Board level once project ranking has been completed. Individual citizen representatives are chosen to participate on the CAG, with criteria that include being a citizen leader, geographically representative, and unaligned with project sponsors. Project sponsors representing their organizations and constituencies are also members of the TAG, providing additional opportunities for public input.
 - The process was well documented in 2006, and will be again in 2007.
- What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?
 - We are working to expand lead entity committee membership.

4. SRFB Review Panel:

- What role should the Review Panel play, and how would it be different from 2006?
 - We believe the Review Panel (RP) should focus solely on the efficacy of individual proposed projects, so that each project is as good as it possibly can be and that the SRFB can be assured that there is fiscal accountability through a POC review. Thus, we hope RP members can

- participate once project proposals have been developed enough to be efficient with their time, but before final evaluation and ranking are conducted by the LE committees.
- The Review Panel is not needed to review our CAG process or our fit to the salmon recovery plans, as the latter will be done by the PS TRT.
 - The Review Panel is not needed to review our projects a third time after we've adjusted project costs to meet the final target allocation, except as a final POC check for fiscal accountability.
 - Should the Review Panel's *time* be allocated by region, given the Panel's time and budget constraints? If so, clarify the basis for the allocation, when the resources of the Review Panel would be needed (e.g., early, late), and what their focus would be.
 - Focusing solely on making projects better, while ensuring fiscal accountability by doing a POC review should require about four full days of dedicated time by only 2 members of the RP, in addition to a final review by the full RP. These days should be split between the pre-application phase and after the final submittal phase. We anticipate that these RP members will be selected for their experience in Hood Canal as well as with the types of projects we generally propose.

5. Relationships Between Multi-Year Implementation Plans and/or Habitat Work Schedules and Actual Project Lists. Towards This End:

- Describe your implementation plans and/or habitat work schedules and how they will be used to develop project lists.
 - Capital Improvement Programs (CIP) have been developed to various degrees over the last several years of implementation of the Habitat Recovery Strategy and then ESA Salmon Recovery Plans. These programs will be updated again for all watersheds/nearshore areas and ESA species before the local process is begun in May. Project lists will come directly and solely from the CIPs.
 - Our larger, more comprehensive Habitat Work Schedule is a simplified list of projects and project concepts at this time, but will be further detailed and then uploaded into the WDFW database by the end of 2007 as that program matures. Future, annual CIP updates will utilize the HWS as a starting point.
- Describe the extent to which the technical reviews of implementation plans and/or habitat work schedules have occurred (or will occur), as a means to ensure consistency with strategies and recovery plans, and the extent to which your project lists are a part of that review. (See Attachment-A for a draft summary of the various technical review roles by salmon recovery region.)
 - Following the process developed by the Shared Strategy chinook project review, the chinook and summer chum salmon 3 year CIPs will be reviewed by the TRT for consistency with the hypotheses and strategies in the salmon recovery plans in Hood Canal and the Eastern Strait of Juan de Fuca, followed by a quick "consistency" check of the final list of proposed projects.

- To what extent will you use *pre-application workshops* to obtain key project information from applicants early in the 2007 grant cycle?
 - As with most past rounds, formal pre-application workshops will be a part of our local process.
- What specific *research and/or data gaps* stand in the way of implementing your three-year project list? Do you believe SRFB is the appropriate source of funding for these? What other potential funding sources exist to address research and/or data gaps?
 - Several gaps occur in the process of moving from habitat goals to implemented projects. Examples include more thorough parcel analyses and landowner willingness, how updated regulatory programs interface with conservation or restoration strategies, and which funding programs are ideal for which project requests.
 - Additional research gaps are identified in the summer chum SRP that seek to explore the link between habitat and fish, with the most prominent example being life history trajectories as juvenile emigrants enter the estuary and ocean environments for the first time.
 - SRFB could be an appropriate funding source if the 5% limitation is not exceeded.
 - Regional programmatic (non-project) funds are helpful in this regard, SRFB feasibility studies are helpful, and NOAA and other federal and state research programs can be of significant support if it is in their interest. Local partnerships providing additional effort have leveraged these opportunities in multiple studies.

6. Relationships to Target Regional Allocations:

- How closely will your list of projects adhere to the SRFB's *target allocation* amounts, and by what date will this list be completed?
 - We will be precise with our proposed project funding request. Project list cost composition can't be determined until final project ranking has occurred. Once that happens, project costs will be adjusted to meet the target allocation through internal project sponsor and LE negotiations.
 - We have not set a local timeline for the local process yet.
- Should the SRFB allow sponsors to make *post-funding* scope or cost changes decided in November and early December 2007, if needed to fit regional allocations? What are the process implications for you and the SRFB, and how would the Review Panel be involved?
 - Yes. If determined to be in the interest of more efficiently and effectively meeting habitat goals, all post-funding scope or cost changes will be communicated to the sponsor community and LE committees for final review.
 - The RP does not need to be involved except as a final POC check if so desired by the SRFB.
- Should the SRFB encourage regional organizations or lead entities to submit *additional projects* in the event that a portion of the regional allocation is not used

due to a funded project being withdrawn or receiving funding from a non-SRFB source?

- Yes, we believe this to be an appropriate safeguard to ensuring that funds are well spent by each region and timely opportunities for salmon habitat improvement are not missed. We will strive to limit the number of additional projects submitted to minimize project review time.

7. Other Recommendations for the SRFB Regarding:

- Streamlining the 2007 grant process, including the review and revision of project proposals? In answering this question, please remember the importance of the SRFB being able to demonstrate to state and federal lawmakers the transparency and effectiveness of the salmon recovery program.
- Modifying or clarifying project eligibility criteria (e.g. research, assessments, or other)?
- What else would you like the SRFB to consider as they develop policy and set the expectations for the 2007 grant round?
- Which of the above issues are better suited for resolution in the 2008 grant round?

2007 SRFB Grant Cycle

Homework Assignment for Salmon Recovery Regions

REGION: Lower Columbia

PREPARED BY: Lower Columbia Fish Recovery Board (LCFRB)

DATE PREPARED: February 16, 2007

Questions:

1. Intra-regional Funding Allocations:

- *What changes, if any, will you be making to the criteria for determining your intra-regional funding allocations?*

Response: The goal of the 2007 6-Year Lower Columbia Habitat Work Schedule is to focus habitat protection and restoration projects on improving the quality and quantity of habitat conditions in high priority (Tier 1) reaches.

While the allocation criteria will be the same as that used in 2006, greater emphasis is being placed on Primary populations and Tier 1 reaches. In past grant rounds, prospective sponsors have been encouraged to focus on Tier 1 reaches and evaluation criteria have given priority to projects in these reaches. For 2007, prospective sponsors are being actively directed to focus on projects that benefit Primary populations and Tier 1 reaches.

Pursuant to the Lower Columbia Salmon Recovery and Fish and Wildlife Subbasin Plan (the recovery plan), Primary populations are those populations that must be restored to a high viability level (95 percent probability of persistence over 100 years). Tier 1 reaches are those that analyses indicate have the highest biological potential for Primary populations. Moreover, since more than one Primary population and/or Contributing populations often use Tier 1 reaches, focusing on these reaches helps to maximize benefits fish.

- *What changes do you anticipate making in the actual funding allocations?*

Response: No significant changes in the actual funding allocations are anticipated. All projects funded during the previous grant cycle focused on Primary populations and Tier 1 reaches.

- *Does your regional organization want to allocate a portion of its target allocation to the highest priority needs for research and/or data gaps, as identified in your*

recovery plan? If so, what portion of your allocation would you use for this, either at the lead entity or regional level?

Response: The LCFRB would like to have the flexibility to target a portion of its allocation to high priority research and data needs identified in the recovery plan in instances where:

- No other funding source is available to meet the need within a reasonable period of time; and
- The research or data is critical to effective allocation of funds to priority habitat protection and restoration needs.

The LCFRB does not believe that funding for research and data collection should exceed 20 percent of the region's annual allocation.

Finally, while the recovery plan does identify a number of critical research and data needs, the LCFRB does not anticipate the need to fund such work from its 2007 allocation. As called for in the recovery plan, the LCFRB is currently working with federal and state agencies and local governments to complete the Lower Columbia Monitoring, Research, and Evaluation (MRE) Program. When completed later this year, the MRE program will provide a detailed research plan for addressing critical uncertainties. It will also identify lead organizations for research needs and provide an implementation and funding strategy.

- *What direction on this topic should the SRFB provide for the 2007 grant cycle and the 2008 grant cycle?*

Response: The LCFRB believes that SRFB funding should be used primarily for habitat protection and restoration work, including assessments needed to support effective decision making on protection and restoration needs. Use of SRFB funds for research and data gathering should also focus on enhancing effective habitat decision-making and not on recovery plan needs associated with harvest and hatcheries. Further, use of SRFB funds for research should be limited to critical needs for which no other suitable funding source exists.

2. Local Technical Review (for the region and their associated lead entities/watershed(s), as appropriate):

- *Describe the local technical review process in your region, and the type and rationale for the interaction(s) you think should occur between your local technical review process and the SRFB Review Panel.*

Response: The following is a summary of the Lower Columbia project development and review process:

Project Pre-Proposals

Sponsors must submit a pre-proposal application. This application is an abbreviated form of the SRFB application. It is intended to provide key information needed to evaluate how well the project would address the needs and priorities of the 6-year Habitat Work Schedule, the project's potential fish benefits, technical merits, cost, certainty of success and landowner and public support. LCFRB staff will be available to assist sponsors in developing proposals addressing key protection and restoration needs.

The LCFRB Technical Advisory Committee (TAC) will evaluate the pre-proposals. TAC members will conduct site visits where appropriate. Project sponsors will meet with the TAC to discuss their proposal(s). TAC members will then complete a technical evaluation of each proposal focusing on how well a project addresses the needs and priorities of the 6-year Habitat Work Schedule, its benefits to fish and its certainty of success using standard evaluation criteria. The TAC findings, comments, and recommendations will be provided to project sponsors for use in preparing their final SRFB applications.

The SRFB Review Panel will again be invited to participate in the site visits and project evaluations. Review Panel members will also be invited to comments and identify concerns they would like to see addressed in the final SRFB application.

Final Project Applications

The TAC will review final SRFB applications using the same criteria used to evaluate the pre-proposals. The TAC will also consider how well the sponsor addressed any TAC comments or recommendations on the pre-proposal. Based on its evaluation, the TAC will develop a recommended regional project list that will be submitted to the LCFRB for its consideration and action. The TAC will review the regional list to ensure that it is consistent with the 6-Year Habitat Work Schedule. The SRFB Review Panel will be invited to participate in the evaluation of projects and regional project list.

Project sponsors may appeal the TAC's recommendation to the LCFRB. The LCFRB may amend or override the TAC's decision or may remand the proposal back to the TAC for further consideration.

The LCFRB will review the TAC's recommended project list. They may remand the list back to the TAC for further work, amend the list, or approve it as submitted. The LCFRB's findings and conclusions will be documented.

SRFB Review Panel Interface

In 2006, the SRFB Review Panel participated throughout the region's technical review process. This included site visits and evaluations of pre-proposals and final SRFB applications. Panel members were able to actively engage with project sponsors and LCFRB Technical Advisory Committee members. This interface allowed:

- TAC and Review Panel members to work together in discussing the merits and weaknesses of each project proposal and to exchange ideas on how projects could be improved or strengthened; and
- Sponsors to receive early feedback on their project proposals and to make needed revisions prior to submitting their final applications.

This interface resulted in a productive working relationship between TAC and Review Panel members and substantially improved the quality of final project applications. As a result, the Lower Columbia project list had a strong correlation to the 6-Year Habitat Work Schedule and no Projects of Concern (POCs).

- *What changes will you be making to your local technical review for the 2007 grant cycle – and what additional direction do you think the SRFB should provide regarding local technical review?*

Response: Based on discussions with SRFB Review Panel members, the technical review process will place greater emphasis on the need to consider and address watershed processes and the potential impact of projects on upstream and downstream habitat values. We believe that continued cooperation between the LCFRB, its TAC, and the SRFB Review Panel can continue to identify ways to strengthen the region's technical review process. For this reason, we do not believe that additional SRFB direction is needed at this time.

- *What improvements to Attachment A would help clarify how technical review has and will occur in your region?*

Response: With regard to the technical review of multi-year project implementation plans or habitat work schedules (Column 5, Attachment A), we offer the following:

- Review of how well the regional list fits the 6-Year Habitat Work Schedule is the responsibility of the TAC.
- Technical review of how well the 6-Year Habitat Work Schedule implements the recovery plan will be conducted every two years in accordance with the recovery plan's monitoring and adaptive management provisions. Technical comments will be sought from the TAC, NOAA Fisheries, WDFW, and the US Fish and Wildlife Service. The 6-Year Work Schedule will also be subject to review and comment by other federal and state agencies, tribes, local governments, and the public.

- *The SRFB has stressed the importance of the local technical reviews being independent.*
 - *Describe what “independent ” means to you.*
 - *To what extent is your local technical review currently independent and in what way(s) do you expect it to change?*
 - *What guidelines should the SRFB provide to better achieve “independent technical reviews”?*

Response: Independent technical review is the ability to review habitat project proposals using sound scientific or technical judgment, free from undue influence of agencies, organizations, or sponsors with a vested interest in the outcome.

The LCFRB TAC serves as the project technical review panel for the Lower Columbia. The TAC was established by RCW 77.85.200 and has 17 members, 4 of which are established by statute. TAC members include technical representatives from federal and state agencies, local governments, and the private sector. Each member was selected for his or her individual perspective, experience, and technical expertise. Most were actively involved in the development of the recovery plan and 6-Habitat Work Schedule. This balanced array of perspectives and expertise allows for a thorough airing and examination of the technical merits of each project.

The LCFRB takes the following steps to help ensure its review process is “independent”:

- Each prospective member is screened for potential conflict of interest prior to appointment.
- Each TAC member is required to declare on the record if they have a direct interest in any of the project proposals under review. If they have a financial conflict, they are required to withdraw from the review process. If a member has a non-financial interest in a project, but declares he/she can be impartial in reviewing projects, then he/she may participate in the review process unless challenged by one or more TAC members or a project sponsor.
- TAC project review meetings are open to sponsors and the public.
- Each TAC member’s project scoring is available to sponsors and the public.
- If a sponsor feels that its project proposal has been scored inappropriately it can appeal to the LCFRB.

Finally, it should be noted that, given the number of TAC members scoring projects, the score of an individual TAC member cannot significantly affect a projects final score and ranking.

3. Public Participation:

The SRFB has stated its preference for local citizen and stakeholder participation to be active, transparent and engaged. Toward this end:

- *To what extent is your local process open to the public and local governments and how did it work in 2006?*
- *What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?*

Response: In 2006, the LCFRB took the following steps to engage the public in its project solicitation and evaluation process.

- Notice of project solicitation was published in major newspapers across the region and distributed to an email list of over 400.
- The recovery plan, 6-Year Habitat Work Schedule, solicitation and review schedule, process policies and procedures, scoring criteria, applications, and supporting documentation were posted on the LCFRB website.
- Staff met with organizations and individuals to invite public participation and to assist in development of project proposals.
- All TAC meetings and site visits were open to sponsors and the public. These included meetings during which the recommended schedule, procedures, and 6-Year Habitat Work Schedule and scoring criteria revisions and updates were developed, as well as meetings during which projects were evaluated and scored.
- All LCFRB meetings were open to the public. These included meetings at which the schedule, policies and procedures, 6-Year Habitat Work Schedule and scoring criteria and the ranked regional project list were discussed and adopted.
- All comments, recommendations, findings, and project scores were available to the public.

The LCFRB includes members representing local governments across the region's 5 counties. LCFRB members approve all the policies and procedures relating to the solicitation and evaluation projects, 6-Year Habitat Work Schedule, the scoring criteria and the final ranked regional project list.

The LCFRB has made 2 changes in its process for 2007. First, the notice of project proposal solicitation will not be published in region newspapers due to high costs and little or no response in prior years. Second, prospective sponsor workshops will be re-instated and will be held at several locations across the region in March.

4. SRFB Review Panel:

- *What role should the Review Panel play, and how would it be different from 2006?*
- *Should the Review Panel's time be allocated by region, given the Panel's time and budget constraints? If so, clarify the basis for the allocation, when the resources of the Review Panel would be needed (e.g., early, late), and what their focus would be.*

Response: In 2006, the SRFB Review Panel played an active role in the region's review process by:

- Attending TAC project site visits. This allowed Review Panel members a first hand opportunity observe proposed project sites and discuss projects with TAC members and sponsors.
- Participating in the TAC review of project pre-proposals. Based on the knowledge gained during site visits, sponsor presentations and pre-proposal applications, Review Panel members were able to discuss projects with TAC members and to make comments and recommendations that could be used by sponsors in developing their final project applications. This early feedback was invaluable in helping sponsors ensure their final proposals addressed key issues of interest or concern to the Review Panel.
- Participating in the final TAC project reviews and evaluations. This allowed Review Panel members to understand and evaluate how sponsors had addressed their comments and recommendations as well as those of the TAC. Review Panel members were able to discuss any remaining concerns with the TAC members, as they scored and ranked the projects.

In summary, the Review Panel's early and continuing participation throughout the region's process resulted in a strong and positive working relationship with sponsors and the TAC and helped to ensure that projects submitted to the SRFB were technically sound.

The LCFRB would like to see the Review Panel's level of participation remain the same as in 2006. The only change needed would be to ensure the Review Panel's availability for site visits, which are scheduled in June rather than July as was done in 2006. The Lower Columbia project review schedule is provided as Attachment B.

The extent of the Panel's time and budget are not clear, making it difficult to discuss the allocation of the Panel's resources in detail. As stated above, the LCFRB would like the Panel's level of effort to remain the same as last year. If the Panel's level of effort in the Lower Columbia must be reduced, we would prefer to have the Panel participate in the site visits and pre-proposal review. As noted above, the Panel's early feedback was particularly useful to both the TAC and sponsors.

5. Relationships Between Multi-Year Implementation Plans and/or Habitat Work Schedules and Actual Project Lists. Toward This End:

- *Describe your implementation plans and/or habitat work schedules and how they will be used to develop project lists.*
- *Describe the extent to which the technical reviews of implementation plans and/or habitat work schedules have occurred (or will occur), as a means to ensure consistency with strategies and recovery plans, and the extent to which*

your project lists are a part of that review. (See Attachment-A for a draft summary of the various technical review roles by salmon recovery region.)

- *To what extent will you use pre-application workshops to obtain key project information from applicants early in the 2007 grant cycle?*
- *What specific research and/or data gaps stand in the way of implementing your three-year project list? Do you believe SRFB is the appropriate source of funding for these? What other potential funding sources exist to address research and/or data gaps?*

Response:

Habitat Work Schedule: The Lower Columbia 6-Year Habitat Work Schedule consists largely of recovery plan excerpts that have been organized, formatted, and summarized to be useful to agencies, local governments, organizations, and landowners engaged in habitat protection and restoration activities. Specifically, for each of the region's 17 subbasins, the Habitat Work Schedule includes excerpts from the recovery plan addressing:

- Listed populations and population recovery goals;
- A summary of key recovery priorities;
- An assessment of watershed processes;
- A subbasin and reach-level summary of habitat conditions and potentials;
- A subbasin reach map; and
- Prioritized subbasin habitat measures and submeasures.

In addition to the Plan excerpts, the Habitat Work Schedule provides more specific habitat protection and restoration guidance. Subbasin Reach Priorities and Restoration Needs Tables:

- Prioritize reaches within each of the 4 tiers used in the recovery plan;
- Rank habitat restoration needs within each reach based on the same EDT analysis used in the recovery plan; and
- Identify relative protection and restoration values for each reach.

The materials in the Habitat Work Schedule were extensively reviewed by NOAA Fisheries and the Willamette/Lower Columbia Technical Recovery Team prior to adoption recovery plan by NOAA in February 2006. In the future, major reviews of the Habitat Work Schedule will be conducted regularly as provided for in the recovery plan. Revisions will be subject to review by federal and state agencies, tribes, local governments and the public prior to submission to NOAA Fisheries for approval.

Pre-Proposals: The LCFRB will continue the practice of requiring all sponsors to submit pre-proposals. The pre-proposal is an abbreviated form of the SRFB application that is intended to provide key project information including location, affected fish populations, targeted life history stages and related limiting factors, project approach, and expected outcomes. Using the pre-proposals the TAC will

provide sponsors with comments and recommendations for preparing final project applications.

Use of pre-proposals in 2006 allowed sponsors to receive early feedback on potential projects and resulted stronger final applications.

Research and Data Gaps: Pending completion of the region's research agenda as part of the Monitoring, Research, and Evaluation program late this year, the LCFRB does not anticipate submitting research proposals to the SRFB. Our thoughts on SRFB funding of such proposals are provided earlier in this paper.

6. Relationships to Target Regional Allocations:

- *How closely will your list of projects adhere to the SRFB's target allocation amounts, and by what date will this list be completed?*
- *Should the SRFB allow sponsors to make post-funding scope or cost changes decided in November and early December 2007, if needed to fit regional allocations? What are the process implications for you and the SRFB, and how would the Review Panel be involved?*
- *Should the SRFB encourage regional organizations or lead entities to submit additional projects in the event that a portion of the regional allocation is not used due to a funded project being withdrawn or receiving funding from a non-SRFB source?*

Response: While it is likely that project proposals received by the LCFRB will significantly exceed the region's target allocation, the LCFRB will likely submit a regional project list approximately totaling the target allocation.

The SRFB should allow the lead entity and/or region to work with sponsors to develop scope or funding changes needed to fit the regional allocation. Since scope changes can significantly alter a project's benefits to fish or certainty of success, the lead entity should review any proposed change and, if necessary, re-rank the project based on its revised benefits and certainty. In such instances it would also be prudent for the Review Panel to review the revised project. Rather than rescoping a project, it would be the LCFRB's preference to focus on projects that could be phased over several grant cycles rather than reducing the scope. This would preserve a project's ranking and would avoid the need for the Review Panel to assess what would otherwise be a "new" project. In any event, if the SRFB decides to allow modification of projects so that a region's list matches its target allocation, then sufficient advance notice should be given in order to allow the lead entity/region time to work with the TAC and sponsors.

It would be desirable for the SRFB to allow regions or lead entities to submit additional projects in the event that a portion of the regional allocation is not used due to a funded project being withdrawn or receiving funding from a non-SRFB source. These projects should clearly be designated as "contingency" projects.

7. Other Recommendations for the SRFB Regarding:

- *Streamlining the 2007 grant process, including the review and revision of project proposals? In answering this question, please remember the importance of the SRFB being able to demonstrate to state and federal lawmakers the transparency and effectiveness of the salmon recovery program.*
- *Modifying or clarifying project eligibility criteria (e.g. research, assessments, or other)?*
- *What else would you like the SRFB to consider as they develop policy and set the expectations for the 2007 grant round?*
- *Which of the above issues are better suited for resolution in the 2008 grant round?*

Response: In general, the LCFRB believes that the 2006 process worked well and would recommend that, in the absence of some compelling reason, the 2007 process remain essentially unchanged. Unless a policy or process change can be put in place before the end of March, it may be better to postpone its implementation until 2008 rather than risk disrupting work already underway by regions, lead entities, and sponsors.

Budget uncertainties may be one issue that could warrant SRFB action to review target regional allocations for the 2007 grant round. Should Washington's portion of the Pacific Coast Salmon Recovery Fund be significantly reduced while State funding requested for Puget Sound and the SRFB is largely sustained, the SRFB should reconsider and adjust its regional allocation targets in order to help sustain viable habitat programs in all regions. In any case, the SRFB should consider making another incremental adjustment in its current transitional regional allocations in 2008.

Attachment B

Lower Columbia Fish Recovery Board
2007 Habitat Project Application Schedule
Final

FEB	12	Call of Projects
MAY	18	Pre-proposals Due
JUN	4, 5, 6, 12 & 13	Site Visits by LCFRB TAC & SRFB Review Panel Reps
	27-28	TAC Pre-Proposals Review (including SRFB Panel Members) Sponsor Presentations
JUL	6	TAC and Staff Comments and Recommendations Published
	27	Submission of Final Project Applications
AUG	16-17	TAC Application Evaluation (including SRFB Panel Members) Sponsor Presentations
SEP	7	Final Review and Adoption of Ranked Project List by LCFRB
	28	Preparation of Region/Lead Entity Application Package Submission to SRFB
DEC	13	Grant Awards

2007 SRFB Grant Cycle

Homework Assignment for Salmon Recovery Regions

Due date: 8:00 a.m. February 20, 2007

REGION: Mid-Columbia
PREPARED BY: David McClure
DATE PREPARED: February 26

Questions:

1. Intra-regional Funding Allocations:

- 1 What changes, if any, will you be making to the *criteria* for determining your intra-regional funding allocations?
- 2 What changes do you anticipate making in the *actual funding* allocations?
- 3 Does your regional organization want to allocate a portion of its target allocation to the highest priority needs for *research and/or /data gaps*, as identified in your recovery plan? If so, what portion of your allocation would you use for this, either at the lead entity or regional level?
- 4 What direction on this topic should the SRFB provide for the 2007 grant cycle and the 2008 grant cycle?

Intraregional funding allocations between the Yakima and Klickitat Lead Entities will likely be based on a combination of historic funding allocations, anadromous stream miles, and/or the 2005 SRFB allocation formula. The exact criteria and allocation will be negotiated between the two Lead Entities in the spring of 2007.

2. Local Technical Review (for the region and their associated lead entities/watershed(s), as appropriate):

- 5 Describe the local technical review process in your region, and the type and rationale for the interaction(s) you think should occur between your local technical review process and the SRFB Review Panel.
- 6 What changes will you be making to your local technical review for the 2007 grant cycle – and what additional direction do you think the SRFB should provide regarding local technical review?
- 7 What improvements to Attachment-A would help clarify how technical review has and will occur in your region?
- 8 The SRFB has stressed the importance of the local technical reviews being *independent*.
 - o Describe what “*independent*” means to you.
 - o To what extent is your local technical review currently independent and in what way(s) do you expect it to change?

- What guidelines should the SRFB provide to better achieve “independent technical reviews”?
- *The Klickitat LE will use the same local technical review process as was used in the last funding round. We hope that interactions with the SRFB Review Panel are the same as last year, except that it may be helpful if representatives attend the citizens committee meeting to prioritize projects, as well as the technical committee meeting to evaluate projects.*
- *We were satisfied with the technical review process used in the last funding round and recommend no changes.*
- *“Independent” means that technical review is limited to evaluating the technical merit of projects and does not consider policy issues such as community interests.*
- *Consistent with SRFB guidance, the technical review currently includes a ranking of the projects on technical merit by the technical committee. Under statute, responsibility for the ranking of the project list resides with the citizens committee, only. It is a potential source of friction between committees. Additionally, grant applications can be revised in response to input project sponsors receive from the technical committee during the technical evaluation, so the citizens committee may be ranking projects that are improved relative to what the technical committee evaluated. SERF Review Panel needs to be aware of this when they compare the rankings of the two committees, or perhaps should not consider technical committee rankings. To date this has been resolved in the LE presentations to the Review Panel and written responses to Review Panel questions.*
- *The way in which technical review is kept independent should be up to each lead entity. SRFB should be thoughtful regarding such things as requesting technical committee ranking of projects, because they do not reflect consideration of community interest issues—apples and oranges. Technical review should be limited to such matters as whether the project design is sound, are the costs reasonable, and can the project deliver the benefits to fish claimed. Sometimes efforts to emphasize technical review makes it a challenge to maintain independence and a challenge to keep development of the project list vested in the citizens committee as provided in statute. One of the ways we keep the reviews independent is that the citizens committee does not see the technical committee project rankings until after they have developed a draft project list. Before finalizing the project list, they look at the technical committee’s rankings to see if there are any disparities that send up red flags. Note that the citizens committee does see the technical committee’s written evaluation of each project before they develop the project list. The technical*

committee's chairman attends the citizens committee meeting to advise the committee regarding the technical evaluation and any changes made to the grant applications subsequent to the technical evaluation.

3. Public Participation:

The SRFB has stated its preference for local citizen and stakeholder participation to be active, transparent and engaged. Towards this end:

- 1 To what extent is your local process open to the *public and local governments* and how did it work in 2006?
 - 2 What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?
- *Citizens and technical committee meetings are open to the public. The lead entity coordinator presents information on the lead entity at various public meetings during the year.*
 - *The lead entity has traditionally had an exhibit at the County Fair to inform the public about the lead entity process and accomplishments. Because of low response (e.g., not effective in recruiting new project sponsors) the lead entity did not exhibit at the fair last year. This year we may see about sharing an exhibit with the conservation districts or other partner. Perhaps use poster or other type of un-staffed exhibit to keep costs down.*

4. SRFB Review Panel:

10 What role should the Review Panel play, and how would it be different from 2006?

11 Should the Review Panel's *time* be allocated by region, given the Panel's time and budget constraints? If so, clarify the basis for the allocation, when the resources of the Review Panel would be needed (e.g., early, late), and what their focus would be.

- *The review Panel should play the same role as last year.*
- *We prefer that the Review Panel attend the project evaluation meeting(s) and project site visit associated with the technical review. The projects are well enough defined at that point and whether or not there is a viable project is less speculative than would be the case earlier in the process. No opinion on whether the Review Panel should allocate time based on regions, unless there are timing conflicts with respect to the project evaluation schedules of the lead entities within a region.*

5. Relationships Between Multi-Year Implementation Plans and/or Habitat Work Schedules and Actual Project Lists. Towards This End:

1 Describe your implementation plans and/or habitat work schedules and

how they will be used to develop project lists.

- 2 Describe the extent to which the technical reviews of implementation plans and/or habitat work schedules have occurred (or will occur), as a means to ensure consistency with strategies and recovery plans, and the extent to which your project lists are a part of that review. (See Attachment-A for a draft summary of the various technical review roles by salmon recovery region.)
 - 3 To what extent will you use *pre-application workshops* to obtain key project information from applicants early in the 2007 grant cycle?
 - 4 What specific *research and/or data gaps* stand in the way of implementing your three-year project list? Do you believe SRFB is the appropriate source of funding for these? What other potential funding sources exist to address research and/or data gaps?
- *Our project evaluation criteria are tied closely with the lead entity strategy and the habitat restoration/protection priorities and community interests identified therein.*
 - *There is no salmon recovery plan (i.e., 4H recovery plan) for the Klickitat LE's area, except for the Little White Salmon River basin which is covered in the Lower Columbia Salmon Recovery Plan. The lead entity strategy considers the Lower Columbia Salmon Recovery Plan.*
 - *We advised prospective project sponsors about the workshops. However, there has been poor attendance from our area. One artifact of placing such emphasis on priority geographic areas is that it limits the number of potential project sponsors. Our top priority areas are in the mainstem Klickitat and some subwatersheds located within the Yakama Reservation. Projects in other areas are discouraged as a consequence of the project ranking process. Additionally, lead entities have been penalized by reduction in available funding for having projects that are not in the top priority area, which is a disincentive to involve a broader spectrum of project sponsors.*
 - *There is little or no information/data on habitat in the Columbia River mainstem other than that regarding flows and temperature, which are issues that are difficult to address through SRFB-funded projects. However, there might be habitat features that could be addressed. It doesn't seem that there are many funding sources for Columbia River habitat research. This may change now that we are beginning to learn about reservoir and estuary life history-type chinook. There are important data gaps, other than in the Columbia River mainstem, which need to be addressed to ensure funding of projects that yield the greatest benefit. Some of these data gaps will be addressed through watershed planning with other funding sources, but funding is tight. Everyone wants to get projects on the ground, but without a good understanding of the problems resources can get misdirected.*
 - *We recommend that SRFB funding be made available for research projects.*

6. Relationships to Target Regional Allocations:

- 1 How closely will your list of projects adhere to the SRFB's *target allocation* amounts, and by what date will this list be completed?
 - 2 Should the SRFB allow sponsors to make *post-funding* scope or cost changes decided in November and early December 2007, if needed to fit regional allocations? What are the process implications for you and the SRFB, and how would the Review Panel be involved?
 - 3 Should the SRFB encourage regional organizations or lead entities to submit *additional projects* in the event that a portion of the regional allocation is not used due to a funded project being withdrawn or receiving funding from a non-SRFB source?
- *It is too early to guess how close we will be to the amount of funding available. Last year the Klickitat LE was under its preliminary allocation agreed to in principal with the Yakima Basin lead entity so the Yakama Board had more to work with.*
 - *Post funding scope or cost changes should be considered in consultation with the lead entities. Without lead entity input, the changes could result in projects that are inconsistent with the strategy and/or community interests against which they were evaluated and prioritized.*
 - *Lead entities should be able to include "extra" projects on the list and they should not be penalized for it through funding reductions.*

7. Other Recommendations for the SRFB Regarding:

- 1 Streamlining the 2007 grant process, including the review and revision of project proposals? In answering this question, please remember the importance of the SRFB being able to demonstrate to state and federal lawmakers the transparency and effectiveness of the salmon recovery program.
 - 2 Modifying or clarifying project eligibility criteria (e.g. research, assessments, or other)?
 - 3 What else would you like the SRFB to consider as they develop policy and set the expectations for the 2007 grant round?
 - 4 Which of the above issues are better suited for resolution in the 2008 grant round?
- *Recommend that SRFB change as little as possible for this funding round.*

2007 SRFB Grant Cycle

Homework Assignment for Salmon Recovery Regions

Due date: 8:00 a.m. February 20, 2007

REGION: Mid-Columbia Region: Yakima Portion

PREPARED BY: _____ Alex Conley _____

DATE PREPARED: 1/20/07

Background: In the spring of 2006 the SRFB asked regional organizations and lead entities to collaborate and provide input on a variety of issues. The issues primarily revolved around how a transition to a regional funding target allocation process would work. The input received from the 2006 homework assignment proved to be valuable in ensuring that, to the extent possible, that the concerns of those people implementing salmon recovery plans or strategies were addressed, consistent with SRFB's needs.

In preparation for the 2007 grant round, the SRFB believes that a homework assignment would again be useful. Although the grant round seemed to work reasonably well in 2006, there is general agreement that some modifications are needed. It is especially important for the SRFB to be informed about what changes in regional and lead entity processes are anticipated for the 2007 grant round, in contrast to the 2006 round. This year's homework assignment is intended to clarify those changes for the SRFB and to identify the concerns of regional organizations and lead entities in deciding which modifications to make.

Assignment: The SRFB is asking regional organizations and the lead entities within them to collaborate and provide responses to the questions listed below. The SRFB would prefer that only one set of answers come from each of the eight salmon recovery regions. However, if a lead entity disagrees with a regional response, to the extent that it wants to express itself individually, it may submit a separate response.

By February 20 please submit your response via e-mail to: tammyo@iac.wa.gov

Questions:

1. Intra-regional Funding Allocations:

- What changes, if any, will you be making to the *criteria* for determining your intra-regional funding allocations?

Intraregional funding allocations between the Yakima and Klickitat Lead Entities will likely be based on a combination of historic funding allocations, anadromous stream miles, and/or the 2005 SRFB allocation formula. The exact criteria and allocation will be negotiated between the two Lead Entities in the spring of 2007.

- What changes do you anticipate making in the *actual funding* allocations?

We anticipate allocating an identified percentage of the Regional allocation to each Lead Entity. Actual amounts of project funding available to each Lead Entity will depend on the amount of funding made available by the SRFB and the level of funding requested by project proponents from each Lead Entity.

- Does your regional organization want to allocate a portion of its target allocation to the highest priority needs for *research and/or /data gaps*, as identified in your recovery plan? If so, what portion of your allocation would you use for this, either at the lead entity or regional level?

Research into data gaps is not a priority for SRFB funding in our area at this time. We do not anticipate setting aside a portion of the Yakima Basin allocation for this purpose in 2007, though it might become desirable at a future date.

- What direction on this topic should the SRFB provide for the 2007 grant cycle and the 2008 grant cycle?

Specific decisions about whether and how much of an allocation should go to assessments/research should be made on a local/regional level based on recovery plan priorities. Having the SRFB set a clear policy on what is potentially allowable and then set a maximum cap (as a % of regional allocations) would be appropriate.

2. Local Technical Review (for the region and their associated lead entities/watershed(s), as appropriate):

- Describe the local technical review process in your region, and the type and rationale for the interaction(s) you think should occur between your local technical review process and the SRFB Review Panel.

Our local and regional technical review is conducted by the Yakima Basin Technical Advisory Group (TAG) whose members include fisheries biologists, engineers, project managers and others from a wide range of organizations active in fisheries restoration in the basin. The TAG receives all SRFB applications, has an opportunity to join in site tours, and receives presentations from project proponents. The TAG reviews projects against the scoring matrix and geographic criteria drawn from the Lead Entity Strategy and the Yakima Subbasin Salmon Recovery Plan. The process typically involves 2-4 TAG meetings over the course of the project selection process. Lead Entity and Regional analyses are joined into a seamless process, so that the single list that results represents joint Lead Entity/Regional Organization priorities for the Yakama Basin. We welcome participation by SRFB review panel members in our local technical committee meetings, and will make minutes, etc from the review process available to all interested parties, including the review panel. We also welcome any opportunities for communication between the TAG and the State Review Panel regarding technical aspects of any potential POCs. Any specific expectations on the part of either the State

Review Panel or the SRFB itself regarding the nature and structure of our review process must be communicated in advance (mid-May at the latest) in order for us to adapt our process and meeting schedule accordingly.

- What changes will you be making to your local technical review for the 2007 grant cycle – and what additional direction do you think the SRFB should provide regarding local technical review?

There are three main changes we plan to implement in 2007:

- 1) We plan to initiate technical review earlier in the process through a more developed pre-application process that allows back and forth discussions between project proponents, the local TAG and SRFB State Review Panel representatives early in the review process (May to June);
- 2) We plan to make more effort to advertise the committee meetings beyond those directly involved in Lead Entity activities;
- 3) We will be revising the Lead Entity Strategy that guides TAG deliberations to ensure that is synchronized with the priorities identified in the most recent version of the Yakima Subbasin Salmon Recovery Plan.

- What improvements to Attachment-A would help clarify how technical review has and will occur in your region?

For the Yakima Basin, **Technical review of multiyear project implementation plans or habitat work schedules** is also undertaken by the Yakima Basin TAG (there is currently a ? in the blank). To date the ICTRT review of the Recovery Plan is still informal in nature. This may change as the Mid-Columbia Steelhead Roll-up is completed by NOAA.

- The SRFB has stressed the importance of the local technical reviews being *independent*.
 - Describe what “*independent*” means to you.

For us “Independent” means that the decisions of the review team as a whole are not swayed by any members’ association with a given project or sponsoring organization. It does not mean that individual review panel members can not have associations with current or potential project sponsors. It also means that the review team has a wide range of backgrounds and perspectives and is not driven by a single perspective and/or set of organizations.

- To what extent is your local technical review currently independent and in what way(s) do you expect it to change?

Currently 3 of our Technical Advisory Group members have been directly involved in development of SRFB proposals. Another 4 are associated with organizations that have submitted SRFB proposals in the past, but have not been directly involved in developing or implementing those proposals. The remaining 5 members have had no personal or organizational associations with specific proposals. A conflict of interest policy that prevents members from participating in decisions related to projects they have ties to and adherence to a consensus decision making approach guaranty that this does not bias the outcome of the review panel.

We are confident that our review panel has acted in an unbiased and independent manner. In the future, increased participation by State Review panel members, and potentially, the public and other stakeholders will provide additional checks to ensure that this remains so. Increased reliance on priorities laid out in the Yakima Subbasin Salmon Recovery Plan is also serving to force technical reviews to be justified in relation to specific priorities documented in the plan, which is also ensuring objectivity.

- What guidelines should the SRFB provide to better achieve “independent technical reviews”?

In a region such as ours, there are only so many people with the qualifications and support to participate in a technical review team. In addition people working in fisheries restoration and related fields in the area have a long history of professional and personal interactions. A definition of independence that does not allow people with associations with SRFB applicants to participate in the review process would greatly reduce the available pool of qualified committee members and eliminate important information and insight from the committee. Likewise, any policy that declares frequent conflicts of interest based on past or present personal interactions would create problems in our region. We are confident that careful facilitation and local and state level (e.g. State-level Review Panel) checks and balances can assure that the results of the technical review process are independent despite some members’ associations with project proponents.

3. Public Participation:

The SRFB has stated its preference for local citizen and stakeholder participation to be active, transparent and engaged. Towards this end:

- To what extent is your local process open to the *public and local governments* and how did it work in 2006?

While our Technical and Community Review meetings have always been open to the public, participation has generally been made up of review panel members and project proponents. There are only a few occasions where other members of the public have attended. Both the Technical Advisory Group and the Citizens’ Committee include members representing diverse community interests and local governments. Local government representatives also make up the Lead Entity Board.

- What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?

While our meetings have always been open to the public, we do intend to do a better job of announcing meeting dates through our website and other broadly-accessible means of communication.

4. SRFB Review Panel:

- What role should the Review Panel play, and how would it be different from 2006?

As currently constituted, the review panel is well suited to its primary role of ensuring that projects are well-designed and likely to provide the desired results. This is an important role for the panel, and help ensure that there are checks and balances in place that assure the SRFB that only high-quality proposals are funded. The current review panel is not well suited to evaluating regional review processes and what effort was made to do so this year did not seem to receive much attention.

While it may be valuable to have a state-level review that compares the regional project lists with priorities espoused in regional plans and work schedules, that would require a level of familiarity with regional plans and materials that is not part of the current review team's mandates. Any such review should in no way supplant regional decisions/priorities; it should be done in order to offer feedback/guidelines for future regional efforts.

Early and specific communication by the review panel about any concerns with a project is essential. The panel must clearly articulate to the project proponent and Lead Entity what the specific concerns with a project are, and how they might be addressed. When more information or new alternatives are presented to them, the panel must communicate their response to the information and clearly identify any remaining issues. We had the unfortunate case last year of receiving vague communication that identified a project as problematic, but gave, over time, changing and unrelated reasons why it was problematic- even when subsequent conversations with some present for panel deliberations indicate that there was a relatively straight-forward explanation for the panel's concerns. The clarity and precision of the Review Panel's written record needs to be better attended to, and prompt and clear communications with Lead Entities is essential. When additional information is presented to the panel, it should communicate if concerns have been met, and if not, which specific concerns remain.

- Should the Review Panel's *time* be allocated by region, given the Panel's time and budget constraints? If so, clarify the basis for the allocation, when the resources of the Review Panel would be needed (e.g., early, late), and what their focus would be.

A pre-allocation would seem unnecessary, except early on all regions should have equal opportunity for early involvement/review by Review Panel Members. Follow up beyond that should be on an as-needed basis.

Late-June/July will be the critical time period for review panel site visits- late enough that project designs are fairly specific, but early enough that adjustments to projects can still be made before completion of the local review process.

5. Relationships Between Multi-Year Implementation Plans and/or Habitat Work Schedules and Actual Project Lists. Towards This End:

- Describe your implementation plans and/or habitat work schedules and how they will be used to develop project lists.

The Implementation plan/habitat work schedule for the Yakima Basin is a work-in-progress. We will be adapting the format of the Actions Tables developed for the Recovery Plan and the FCRPS Biop and reviewing near-term priority actions with implementing parties over the spring of 2007. These discussions will be occurring at the same time that SRFB proposals are being solicited; we will be encouraging project proponents to submit proposals for top priorities discussed in the Implementation Plan reviews.

- Describe the extent to which the technical reviews of implementation plans and/or habitat work schedules have occurred (or will occur), as a means to ensure consistency with strategies and recovery plans, and the extent to which your project lists are a part of that review. (See Attachment-A for a draft summary of the various technical review roles by salmon recovery region.)

To date, reviews of Recovery Plan Actions have occurred as part of the process of Plan Development (by NOAA, local stakeholders, etc), but no technical reviews of the subsequent implementation plan have been completed. To the extent possible this will be incorporated in the TAG's spring/summer TAG process by reviewing Implementation Plans from the final plan draft now under preparation with the TAG prior to addressing specific proposals.

- To what extent will you use *pre-application workshops* to obtain key project information from applicants early in the 2007 grant cycle?

The pre-application workshop we held in 2007 focused on getting info from SRFB and the Lead Entity to potential applicants. We do not anticipate using the workshops to solicit project information from applicants; this will be done through a separate written pre-application process (probably in May).

- What specific *research and/or data gaps* stand in the way of implementing your three-year project list? Do you believe SRFB is the appropriate source of funding

for these? What other potential funding sources exist to address research and/or data gaps?

While there are significant data gaps that exist regarding recovery actions in the Yakima Basin, these do not stand in the way of the types of projects that typically receive SRFB funding. These gaps can be addressed using other funds (NOAA monitoring \$s, BPA funds, Bureau of Reclamation programs, etc) and primarily focus on issues such as flow management options for the mainstem Yakima that are outside the scope of SRFB projects. At this time, basin partners are in agreement that the priority for SRFB funds should be on the ground restoration activities,

6. Relationships to Target Regional Allocations:

- How closely will your list of projects adhere to the SRFB's *target allocation* amounts, and by what date will this list be completed?

Have the SRFB set a clear policy and due date and we will adhere to it. In the absence of a specific policy, we will strive to match an allocation, but will also retain the right to include reserve projects in case projects on our list become un-fundable due to State Review Panel determinations or other factors.

- Should the SRFB allow sponsors to make *post-funding* scope or cost changes decided in November and early December 2007, if needed to fit regional allocations? What are the process implications for you and the SRFB, and how would the Review Panel be involved?

This question is confusing; Nov/early December changes would not be post-funding if the funding decision is made by SRFB at the December meeting.... I assume the question refers to changes made after the submission of regional lists and before the SRFB funding decision. Changes made in this period were critical to the success of the 2006 round; without the ability to respond in this period, Regions could not have hit their allocations with any precision. If a change that affects project scope is proposed in this period, it should have review/approval by the Review Panel, and the project proponent should be able to respond to any unfavorable Review Panel determinations, with the knowledge that the SRFB would have the final say.

If the question is indeed in reference to post-SRFB funding changes, these are appropriate when necessary. Every effort should be made to allow a region to adjust its list in the face of unexpected developments so that an allocation can be used to its full extent. Changes must meet the requirements of both local and state level review; perhaps written documentation from Lead Entity and the State Review Panel that the changes proposed by a region have been discussed and found acceptable is the most appropriate way to ensure this.

- Should the SRFB encourage regional organizations or lead entities to submit *additional projects* in the event that a portion of the regional allocation is not used

due to a funded project being withdrawn or receiving funding from a non-SRFB source?

Having extra projects on our list was invaluable to us in the 2006 list, and is the fairest way to allow Regions to target their allocations in the face of unexpected developments. At the same time, there should be a limit to the number of extra projects submitted (a % of the regional allocation? A number of projects?) so that we don't return to the days when much of the regional review team's time goes into discussing projects and wrangling over POCs that have little to no chance of receiving funding. Perhaps lists can be submitted in two parts- the main list which hits the allocation and a reserve list to cover contingencies that has passed local review, but is not looked at by the state level review unless a change to the proposed main list requires drawing on the reserve list. This would give Lead Entities and Regions the benefits of having extra projects while only requiring the State Review Team to spend time on reviewing them if they are actually going to be added to the main list.

7. Other Recommendations for the SRFB Regarding:

- Streamlining the 2007 grant process, including the review and revision of project proposals? In answering this question, please remember the importance of the SRFB being able to demonstrate to state and federal lawmakers the transparency and effectiveness of the salmon recovery program.

If the SRFB is committed to a regional approach, every effort should be made to have SRFB policies allow regions to manage and take responsibility for their regional allotments to the fullest extent possible. This would include giving the regions the ability to move unspent funds (due to projects coming in under budget or being cancelled) to other regional priorities, provided that these have also been through the SRFB review process. This ability would extend across funding cycles whenever possible. If funds can not be retained within a region, it penalizes the regional organization and all other project proponents when a single project proponent can not follow through as anticipated. Having funds available to be recycled within a region also increases the incentive for project proponents to be as cost-effective as possible in completing SRFB funded work.

- Modifying or clarifying project eligibility criteria (e.g. research, assessments, or other)?

This has not been a significant issue in our area.

What else would you like the SRFB to consider as they develop policy and set the expectations for the 2007 grant round?

The main point would be to make expectations clear from the outset; local and regional processes should not be judged after the fact if those judgments will affect the current round's funding. Where an oversight role is desired and criteria are changing, it is more

appropriate to review the process in order to provide insight/requirements to guide the following round. This gives the local processes time to respond and react to the critiques that are offered,

- Which of the above issues are better suited for resolution in the 2008 grant round?

That's the SRFB's call...

2007 SRFB Grant Cycle
Homework Assignment for Salmon Recovery Regions
Due date: 8:00 a.m. Tuesday February 20, 2007

REGION: Puget Sound
PREPARED BY: Jim Kramer, Executive Director, Shared Strategy
DATE PREPARED: Updated 23 February 9, 2007

Questions

1. Intra-regional Funding Allocations

What changes, if any, will you be making to the criteria for determining your intra-regional funding allocations?

In 2006 the Puget Sound Salmon Recovery Council and Lead Entity groups agreed that projects of high benefit to salmon recovery could be provided through application of past distribution allocations by percentages to the 2006 Grant Cycle. They also agreed to support immediate movement toward a strategic approach to allocation of dollars across Puget Sound based on ESU-based technical criteria and policy considerations. Over the course of the year, the Salmon Recovery Council and Lead Entities developed an allocation methodology that guides the distribution of funds to the fourteen Puget Sound watersheds according to two criteria: (1) overall ecosystem benefit; and (2) emphasis on delisting. The criteria were approved in October 2006 for use in the allocation of funds in a budget proposal to the Governor for inclusion in her Puget Sound budget. In their January 2007 meetings, the Salmon Recovery Council and Lead Entities agreed to refine that the allocation methodology for application to the 2007 SRFB Grant Cycle. Refinements will be developed and discussed during February and will be recommended to the Recovery Council for approval at its March 29th meeting. At that time, the Puget Sound Region will formally notify the SRFB of the allocation methodology and final criteria for determining the intra-regional funding allocations.

What changes do you anticipate making in the actual funding allocations?

As mentioned above, the new allocation methodology is based on scientific and policy factors in contrast to the use of historical percentages. This new approach changes the actual allocations in a significant manner which will be finalized by the Recovery Council at the end of March.

Does your regional organization want to allocate a portion of its target allocation to the highest priority needs for research and/or data gaps, as identified in your recovery plan? If so, what portion of your allocation would you use for this, either at the lead entity or regional level?

The Lead Entities and Recovery Council have not yet determined whether to allocate a portion of the target allocation to the highest priority needs for research and/or data gaps, as identified in the Puget Sound Salmon Recovery Plan. It would be helpful and appreciated to have the flexibility to allocate a portion of the regions funding to the highest priority research and data needs. The allocation methodology under review includes 5 percent for capital planning and

management. The Puget Sound Region will discuss a process to develop a list of high priority research needs and/or data gaps and determine an allocation strategy.

What direction on this topic should the SRFB provide for the 2007 grant cycle and the 2008 grant cycle?

The Puget Sound Region will provide further input on this question for the 2007 grant cycle and 2008 grant cycle after further discussion with watersheds/Lead Entities. SRFB is urged to develop clear procedures for funding of research and/or data gaps which would ensure that proposed research projects would receive the same technical review and scrutiny as would other projects and would be subject to the same procedures for Lead Entity technical and citizen stakeholder participation as will other types of projects.

2. Local Technical Review (for the region and their associated lead entities/watershed(s), as appropriate):

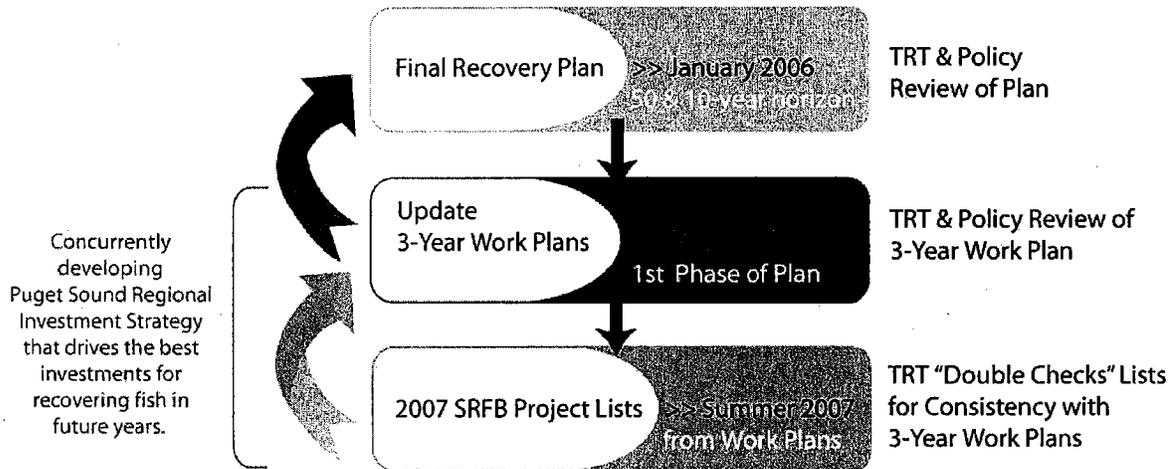
Describe the local technical review process in your region, and the type and rationale for the interaction(s) you think should occur between your local technical review process and the SRFB Review Panel

The process described below details Shared Strategy's regional process for ensuring that the proposed Lead Entity projects are in support of the recovery plan strategy.

The Puget Sound Technical Recovery Team (TRT) liaisons provide guidance during the development of each recovery planning area's three-year work program, including both the narrative and the development of the specific work program items. TRT members subsequently evaluate the work program for consistency with the hypotheses and strategies in the WRIA/recovery planning area. The three-year work programs, first developed during the 2007 Round, are designed to be a transparent means of showing local plan priorities and projects and consistency with the salmon recovery plans and technical feedback provided by the Puget Sound TRT as part of their May 2005 review and with the Federal Supplement published by NOAA in January 2007.

An overview and description of steps recommended by the Puget Sound Recovery Council and accepted by the SRFB for the 2006 Round is provided below and is proposed for use again for 2007 (this graphic will be updated). Following the steps are the objectives provided to watersheds as guidance for the development of their three-year work plan updates in 2007 and the questions which the TRT uses in its technical review of the three-year work program.

Overview of the Puget Sound Process



Steps involved in the development and review of the projects

1. Lead Entities/watershed coordinators update their 2006 three-year work plans based on the Puget Sound Salmon Recovery Plan (including local chapters), TRT and Policy team review comments, and the Federal Supplement published in January 2007. Objectives were provided as guidance to lead entities/watershed coordinators for the development of first three-year work plans in 2006.
2. The Puget Sound TRT and Puget Sound Recovery Council Work Group review each of the three-year work plan updates from the 14 watershed planning areas in Puget Sound in April through early May 2007. The review determines consistency with the Recovery Plan as well as previous technical and policy guidance.
3. Lead Entities solicit projects from project sponsors, asking project sponsors to propose projects consistent with the three-year work plans.
4. Lead entities follow the SRFB local process of Lead Entity technical review and ranking and citizen committee review and ranking.
5. Projects entered into PRISM/habitat work schedule by Lead Entities or project sponsors.
6. Lead Entity prepares citizen committee ranked project list and submits to Puget Sound Regional Recovery Council and Puget Sound TRT.
7. Lead Entity prepares the citizen committee ranked project list and submits to the SRFB.
8. Puget Sound TRT performs a "consistency check" to ensure ranked project lists from each of the Lead Entities within the Puget Sound region are consistent with the previous reviews, evaluating each list based on its fit to the regional Chinook strategy, watershed recovery plan, and three-year work plans. This occurs in late August through early September 2007.
9. Puget Sound Salmon Recovery Council is briefed on the project lists but does not make any independent decision or endorsement. The Recovery Council will not reorder or select projects off of lead entity project lists.

10. The SRFB Review Panel reviews Puget Sound Lead Entity project lists for technical merits to identify projects of concern (POC). *This step could happen simultaneously with some of the previous steps that are being conducted by the region.*
11. The SRFB IAC staff compiles report summarizing identified SRFB Review panel POCs and Puget Sound TRT ratings of Lead Entities lists' fit to regional strategy.
12. Lead Entities and regions are given a chance to comment on draft staff report.
13. The SRFB makes its funding decision based on SRFB funding policies and after reviewing the project lists, lead entity strategy summaries, regional input, reports from the Review Panel, staff reports, and public comments (including public testimony at the funding meeting).

Objectives provided as guidance for the development of the watersheds' work programs and update

1. Improve the level and certainty of protection for habitat
2. Protect the 22 existing Chinook populations by addressing the most immediate and potentially greatest threats that could cause populations to decline in this three-year work program timeframe.
3. Preserve options for increasing Evolutionarily Significant Unit diversity.
4. Restore ecosystem processes for Chinook and other species by preserving options for habitat restoration and by addressing the most immediate and potentially greatest threats in estuaries, mainstem, upper watershed, freshwater tributaries and nearshore, and water quality and quantity.
5. Advance the integrated management of harvest, hatchery, and habitat to address the most immediate and potentially greatest threats.
6. Continue to expand and deepen individual and community support for key priorities.
7. Continue to develop and implement monitoring and adaptive management program.
8. Build capacity in each watershed to implement the full breadth of prioritized programs and projects needed to get on a recovery trajectory during the first three years.
9. Support multi-species.

Three-year work program TRT questions

These are the questions the TRT is expected to use in their evaluation of the three-year work programs. Although no changes are anticipated, the Region will appreciate having the flexibility to notify SRFB of any changes in these questions by March 21st.

1. Is the updated work program consistent with the hypotheses and strategy developed for recovery? (The work program includes hypotheses and strategies contained in the adopted recovery plan, TRT review comments, and NOAA Federal Supplement).
2. Is the sequencing and timing of the work program appropriate for the first three years of implementation?
3. Are there significant components missing from the work program? If so, what are these and what can be done about them in the three-year work program or at a regional scale?

Documentation of the technical review process and results (including summary of comments of the reviewers and how they were reflected in the project list)

The Puget Sound TRT will provide feedback on the updated three-year work program review to each of the 14 watersheds/recovery planning groups in written format in August and early September of 2007. The written feedback will be available on the Shared Strategy web site (www.sharedsalmonstrategy.org) under “What’s Happening n Your Watershed” as well as from each watershed recovery plan coordinator and lead entity coordinator. The written feedback will also be provided to the SRFB.

What changes will you be making to your local technical review for the 2007 grant cycle—and what additional direction do you think the SRFB should provide regarding local technical review?

No changes in the TRT’s technical review process are contemplated. We encourage that the SRFB to provide clear directions on roles and questions that will be addressed by the Puget Sound TRT and the SRFB Technical Review Panel. Toward this end, a conversation between the Region and the SRFB during the development of the Policy Manual would be useful.

What improvements to Attachment-A would help clarify how technical review has and will occur in your region?

Column Three “Technical review of project lists” - We suggest that column three reflect that Puget Sound Lead Entities engage in local technical reviews of their lead entity strategies for focus and quality.

Column 4 “Technical review of project lists - The Puget Sound TRT reviews individual watershed strategies for consistency with the recovery plan hypotheses and strategies and also performs a consistency check on the proposed final project list submitted for SRFB funding. The statement “specific project lists not reviewed by PS TRT” is inaccurate. This is accomplished in the three-year work program update review. Also, given that the three-year updates are the beginning of the habitat work schedule activities, we suggest that this column be moved to precede column 4, “Technical review of project lists”.

Column 5 “Technical review of multi-year project implementation plans or habitat work schedules” – We suggest that this needs better definition. Does it refer to the list of projects submitted for SRFB funding, or does it refer to the project list on the habitat work schedule and as reflected in three-year updates? It should also indicate that the Puget Sound TRT, as part of its review, provides guidance and comments on strategic fit and sequencing.

The SRFB has stressed the importance of local technical reviews being independent. Describe what “independent” means to you.

The Regional technical review process is conducted by the Puget Sound TRT. Members are appointed by NMFS and are independent of Lead Entities/watershed groups that develop and follow a technical and citizen stakeholder process at the local level.

To what extent is your local technical review currently independent and in what way(s) do you expect it to change?

Region

We are confident in the independence of the technical review that occurs at the Regional level. Each watershed works with a TRT member assigned to them during the early development of the recovery planning process. At least two TRT members review three-year work program/updates closely with the watershed, and the full TRT reviews the three year work program/updates and arrives at a joint statement concerning fit to strategy and consistency. One of the members of the Puget Sound TRT member is actively engaged with two local recovery plan implementation teams. Any bias that might develop is basically neutralized by the process of having at least two TRT members separately assess the watershed's three-year work program/updates and discussing findings with the full membership.

Local/Lead Entities

All projects in Puget Sound are subject to a local, regional and technical review process. Lead entities and the regions deal with independence in different ways, through they share a number of similarities.

Each lead entity in Puget Sound has a method for dealing with conflict of interest by local project reviewers. All project reviewers must identify any direct interests with projects that are proposed for SRFB funding. In many cases, a reviewer with a conflict is asked to recuse her/himself from review of that particular project. It is acknowledged that in a number of watersheds, this conflict of interest must be balanced with the need for reviewers who are local and knowledgeable about conditions in the watershed. The process is strengthened by the fact that local review teams consist of agency staff, project sponsors, Tribes and others who are representative of a cross-section of the watershed. This serves to increase the transparency of the projects among residents and others interested in the process.

What guidelines should the SRFB provide to better achieve "independent technical reviews?"

We urge the SRFB to provide clear descriptions of the role of the SRFB Technical Review Panel and the regional Puget Sound TRT and the questions each will address. A discussion between the Region, lead entities and the SRFB during the development of the Policy Manual would be helpful in this regard.

3. Public Participation:

The SRFB has stated its preference for local citizen and stakeholder participation to be active, transparent and engaged. Towards this end:

To what extent is your local process open to the public and local governments and how did it work in 2006?

What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?

It is the position of the Puget Sound Region that this question applies to regional organization and to Lead Entities. Accordingly, the response to this question is divided into two parts. The first section provides responses for the regional organization. In the second section, each of the fourteen Puget Sound Lead Entities describe their processes and indicate changes or improvements they anticipate making in the 2007 grant cycle.

Section One – Regional Response

To what extent is the Puget Sound process open to the public and local governments and how did it work in 2006?

The Shared Strategy for Puget Sound is a collaborative initiative to restore and protect salmon runs across Puget Sound. The graphic, Attachment 1, describes the implementation structure for the Puget Sound Salmon Recovery Plan. Attachment 2 “Who’s Who in the Shared Strategy”, identifies regional staff and working group members by affiliation and also identifies members of NMFS’ Technical Recovery Team. (These attachments are also available on the Shared Strategy web site: www.sharedsalmonstrategy.org).

As the graphic depicts, the Shared Strategy process begins at the local watershed level. It is at this level that local planning and implementation of recovery strategies and actions are identified and implemented. The watershed groups elected representatives to serve on the Puget Recovery Council, which sets policy direction for the Shared Strategy process. The Recovery Council includes local watershed salmon recovery representatives, some of whom are city and county elected officials; federal, tribal, and state agency representatives; businesses such as the timber, agricultural, maritime, fishing and development industries; and conservation groups. Currently, meeting schedules, summaries, and information about implementation of the recovery plan are provided to all recovery plan participants, including Lead Entities, through a broad distribution list. Information on plan implementation is also available to the broad and diverse public through a regularly published “e-bulletin”, and through the Shared Strategy web site.

Throughout the 2006 Grant Cycle, watershed recovery plan implementation groups provided direction to their representatives to the Recovery Council, and Lead Entities and local recovery plan implementation partners and participants participated in regularly scheduled Watershed Leads’ meetings. All meetings are open to members of the public and comments are welcome. During the 2006 Grant Cycle, opportunities for public review and comment were enhanced by the federal process for recovery plan adoption. NOAA responded to comments and incorporated additional considerations in the final Supplement published on January 19, 2007, on the same day that the response to comments and plan adoption were published in the Federal Register. The Recovery Council has been satisfied that opportunities provided at the regional level as well as through the Shared Process, which rests on local watershed salmon recovery group activities, have been not only ample, but well utilized to ensure public access and participation to recovery plan implementation processes and substance.

What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?

No changes in provisions for public participation in the Shared Strategy process have been identified as needed for the 2007 grant cycle. The watershed leads and Recovery Council members will continue to consider ways to solicit public participation and implement principles articulated in "Democracy in Action."

Section Two: Puget Sound Lead Entities' Responses to the Public Participation questions

WRIA 1 (WRIA 1 Salmonid Recovery Board)

WRIA 1 is in the process of integrating salmon recovery and watershed planning processes. An expected outcome of that process is to broaden development of a process for stakeholder and community involvement in salmon recovery implementation beyond participation in the project ranking process.

WRIA 2 (San Juan County)

In San Juan County the CAG is the San Juan County Marine Resources Committee (MRC). Every meeting of the MRC is open and available to the public. The meeting agendas are published in advance and there is always time on each agenda for citizen input. Additionally, the SRFB Review Panel site visits are openly publicized and TAG, CAG and the public are encouraged to attend. No changes for the next SRFB round are anticipated.

WRIAs 3 and 4 (Skagit)

The Skagit Lead Entity distributes widely a request for proposals to be funded through the SRFB process. This distribution includes the timeline and process for review. Members of the Skagit Watershed Council, which includes citizens, conduct a review of proposals and score and rank projects. Results are made available to project sponsors immediately after the meeting finalizing the prioritized portfolio of projects to be submitted to the SRFB for funding, and an advertised open house may be held to provide an opportunity for a wider audience to view the proposed projects. We do not anticipate making changes in this process for Round 8.

WRIA 5 (Stillaguamish)

The Stillaguamish SRFB Round 7 process was communicated to the public and local governments through our Stillaguamish Implementation Review Committee (SIRC), Technical Advisory Group (TAG), and WRIA 5 Potential Project Sponsors mailing lists. Snohomish County, City of Stanwood, and City of Arlington are members of the SIRC. The Stanwood/Camano News and Arlington Times newspapers are also included in our SIRC Interested Parties mailing list. Information about the grant cycle was also posted on the Snohomish County web site at www.salmon.surfacewater.info.

We will advertise the next Stillaguamish SRFB grant cycle in the weekly newspapers Stanwood/Camano News and Arlington Times as well as the daily Everett herald newspaper. We will also try to get announcements in the Snohomish Conservation District's Nexus

newsletter, the Stilly-Snohomish Fisheries Enhancement Task Force e-mail newsletter, and the Stillaguamish Tribe's Thalweg newsletter.

WRIA 6 (Island)

The WRIA 6 SRFB process is announced to the public in a press release at the beginning of the process and project proposals are presented prior to the final application deadline at a local SRFB forum hosted at a citizen committee meeting, which is also announced through pres notices. All citizen committee meetings are open to the public. The citizen committee members are appointed by the Island County Board of Commissioners, four per Commissioner District. In addition, representatives from local municipalities are advisory members to the citizen's committee. During the 2006 SRFB round, the citizen's committee was kept informed of proposed projects throughout the process: beginning with a list of letters of intent at the beginning of July, an opportunity to participate in the review of draft applications at the end of July, proposal presentations at the beginning of August, and review of the ranked proposal list at the beginning of September. No changes to this process are planned for the 2007 grant cycle.

Snohomish River Basin (WRIA 7)

Public participation in the Snohomish River Basin is currently handled through either structural or direct engagement in the grant process. Structurally, the Snohomish River Basin Salmon Recovery Forum (Forum) is composed of 39 members from King and Snohomish Counties, Tribes, local jurisdictions, farmers, businesses, and special interest groups. The Forum has played a role in the review and ranking of SRFB projects since its inception. The Forum's role is to take the scoring recommendations of the local review team and the Snohomish Basin Salmonid Recovery Technical Committee and provide the final ranking for the projects for submission to the region and SRFB. Forum meetings are open to the public and are posted on the Snohomish County website in November of the previous year, excepting the SRFB meeting, which is posted soon after the opening of the Round. Public outreach and education in the basin seeks to include the public in salmon recovery work and includes a component of raising awareness of efforts to recovery salmon, in some cases leading to direct involvement in Forum meetings.

As project sponsors develop projects, the Forum and Forum staff strongly encourage project sponsors to include surrounding landowners and the local community in the project development phase. Public involvement at this scale could include one-on-one discussions with surrounding landowners or a public meeting that engages the public at one time. Project sponsors are also encouraged to include public outreach and education in their projects as they are completed. Public participation and education and outreach are components of the local scoring criteria.

Snohomish River Basin – changes or improvements for 2007

The local technical review committee will review the scoring criteria and may include stronger criteria in relation to public involvement or participation in the projects. The more involved and engaged the public is on projects earlier in the process, the smoother other reviews (e.g. permitting) or construction may proceed. Furthermore, a more engaged public may support salmon recovery efforts or expand the scale of projects further impacting salmon habitat protection and restoration.

Other changes will include raising the public participation issue with the Snohomish Basin Policy Development Committee and Forum to find ways to encourage landowners to attend the Forum SRFB ranking meeting with project proponents. Furthermore, the Forum may wish to announce the SRFB meeting more broadly, using local newspapers or other methods to reach the public.

WRIA 8 (Lake Washington/Cedar/Sammamish)

WRIA 8 actively encourages public participation through involvement in the WRIA 8 Salmon Recovery Council, the WRIA 8 Implementation Committee, and through local jurisdictional salmon recovery projects and educational events. WRIA 8 maintains a website and sends notices to a broad e-mail group that includes citizen leaders and activists. The WRIA 8 Project Sub-Committee that reviews SRFB proposals has one to two citizen members. Project proposals are reviewed for community group involvement or interest.

No changes in public participation in WRIA 8 are anticipated for 2007.

WRIA 9 (Green/Duwamish)

In WRIA 9, public participation associated with SRFB rests on a broader effort to inform and involve the public about watershed salmon habitat recovery. This effort began in 2001 and has included sharing of information about both the science and policy of salmon recovery.

Watershed displays located in city halls and library, a one-hour salmon science television show, popular posters, a comprehensive website, and periodic electronic communications to large distribution lists serve to inform the general and involved publics. The watershed citizen review body (the WRIA 9 Steering Committee) has a diverse and active membership. Thanks to the Steering Committee development of the three-year work plans in early 2006, likely SRFB proposal applicants are aware of, and had input into, the list of priority projects. With the initiation of the SRFB round in 2006, individual groups that had the institutional ability to successfully carry out protection/restoration/assessment projects were notified and, where appropriate, encouraged to apply.

No changes in public participation in WRIA 9 are anticipated for 2007.

WRIAs 10/12 (Pierce County - Puyallup/White and Chambers/Clover Creek)

The Pierce County Lead Entity will continue to emphasize a public process to solicit projects consistent with our 3- and 10-year lists through direct mailings, display ads, through citizens' and technical committees and through watershed councils.

WRIA 11 (Nisqually)

The Nisqually River Council, which serves as the Citizens Committee for the SRFB process, provides a forum where people of the watershed meet monthly to discuss and resolve important issues related to watershed management and salmon recovery. The Nisqually River Council has served as the voice of the Nisqually watershed community for the last 16 years and brings together all the players in the watershed. It is through the Council and the voices of its members that support for actions necessary to protect and improve salmon stocks is assessed. The Council prioritizes salmon habitat projects using the best available science to determine which projects

have the greatest benefit to Nisqually salmonids. When projects have a similar benefit to salmon, the Council may use the project's potential to increase community support for salmon recovery to prioritize those projects. There is also a comprehensive outreach strategy in the Nisqually to increase the level of understanding and support for high priority salmon recovery actions through a comprehensive education and outreach program – the Nisqually Stream Stewards, which offers year round educational workshops and volunteer opportunities for local citizens to learn more about the health of their local streams, the need for protection and restoration of habitat, and what types of actions they can take as individuals to participate in and support recovery efforts. Individual workshop topics are selected and stream stewards attend a series of classes and fieldtrips that teach them about the local ecology, how to evaluate the health of their local streams, and how they can get involved in actively protecting and restoring their local stream.

No changes are anticipated to occur in the 2007 grant cycle.

WRIAs 13

The Lead Entity committee of WRIA 13 meets monthly and is composed of citizens and technical stakeholders. Agendas are distributed widely in advance and time is allotted for public questions, comments and discussion. Information concerning projects is disseminated broadly and as early as practicable. The public is invited to participate in site visits with the SRFB Review Panel and the joint technical and citizens Lead Entity Committee.

In 2007, we anticipate putting our agendas, meeting summaries and pertinent documents on a web site that is run through the Conservation District. We are also broadening our communication strategy to include another newsletter and monthly announcements in the local newspapers to highlight activities of the Lead Entity and members so that the public can better understand their roles and contributions to salmon recovery.

WRIA 14

The Lead Entity committee of WRIA 13 meets monthly and is composed of citizens and technical stakeholders. Agendas are distributed widely in advance and time is allotted for public questions, comments and discussion. Information concerning projects is disseminated broadly and as early as practicable. The public is invited to participate in site visits with the SRFB Review Panel and the joint technical and citizens Lead Entity Committee.

In 2007, we anticipate putting our agendas, meeting summaries and pertinent documents on a web site that is run through the Conservation District. We are also broadening our communication strategy to include another newsletter and monthly announcements in the local newspapers to highlight activities of the Lead Entity and members so that the public can better understand their roles and contributions to salmon recovery.

East Kitsap – WRIA 15

The process for selection of the projects for the SRFB in 2006 was advertised in the local press and added to the website at Kitsap County. The meetings to discuss the projects and to prioritize them were open meetings, with public testimony taken. The primary improvement for 2007 is the oversight of the process by a newly created entity for East Kitsap that includes formal participation of additional cities and Pierce County in the lead entity process.

Hood Canal Coordinating Council (WRIAs 14, 15*, 16 17*)*

- All meetings are announced on our website, by email distribution, and through media releases to newspapers of record. All meetings have a public comment period. All local governments are invited to participate in the formal process, and are briefed at the HCCC Board level once project ranking has been completed. Individual citizen representatives are chosen to participate on the CAG, with criteria that include being a citizen leader, geographically representative, and unaligned with project sponsors. Project sponsors representing their organizations and constituencies are also members of the TAG, providing additional opportunities for public input.

The process was well documented in 2006, and will be again in 2007.

We are working to expand lead entity committee membership in 2007.

North Olympic Peninsula Lead Entity (NOPLE) (WRIAs 17, 18, 19)*

The North Olympic Peninsula Lead Entity's (NOPLE) 8th Round SRFB Process will be open to the public, including citizens and stakeholders, who will be invited to participate and observe the process, including hearing pre-proposal and final applications presentations; attending site visits; and citizen review and proposed ranking. Information about these opportunities will also be provided to the local media. During NOPLE's end-of-the-year retreat, one of the agreed goals was to encourage more public participation and education concerning local salmon restoration needs and efforts. In addition, NOPLE is also engaged in encouraging the reformation of an Elwha-Morse Management Team (EMMT), which is likely to result in increased citizen participation and advocacy in WRIA 18 West.

4. SRFB Review Panel

What role should the Review Panel play, and how would it be different from 2006?

The Puget Sound TRT reviews project lists fit to strategy, sequencing, prioritization and consistency with the recovery plan prior to submission of lead entities' lists to the SRFB Review Panel. The TRT does not review technical merits of the projects. As Attachment A reflects, the SRFB Review panel is responsible for conducting a technical review of individual habitat projects, addressing design, benefit, and certainty. This is an appropriate role.

In the 2006 7th Round, some blurring of responsibilities occurred, with the Review Panel questioning fit to strategy. A concerted effort is needed to ensure that roles are clear and unambiguous. This could be accomplished by a detailed list of the questions the SRFB and the Puget Sound TRT each ask.

At the Jan. 25, 2007 meeting, the Puget Sound Region indicated its endorsement of the Lead Entity Advisory Group's recommendation that SRFB policies that could be in conflict with or different from regional priorities be reviewed prior to issuing the Manual for Round 8. The example of San Juan was provided as an example. In that case, questions were raised about the eligibility criteria, recovery strategy, and policy decisions that were brought up throughout the

review period. These issues were compounded by the way projects of concern were communicated and addressed by the Review Panel. The Region looks forward to working with the SRFB to resolve issues so that duplication and misperceptions can be reduced if not eliminated.

Policies and procedures regarding projects of concern (POCs) should be clearly established and communicated at the beginning of Round 8. Timelines for review Panel comments and recommendations, responses by watersheds, regional observations should be established. Review for POCs by the entire SRFB Review Panel should occur earlier in the process instead of the entire Review Panel's viewing projects for the first time after their submission. Earlier input from the Review Panel in full may increase communication and understanding of project applications at the local and Review Panel levels.

The Puget Sound Region offers to work with Lead Entities and the SRFB to develop clear criteria for the evaluation of projects, both capital and non-capital. It is important for lead entities to understand the appropriateness of advancing assessment-related projects through the SRFB process.

A process for resolving differences of opinion regarding the application of eligibility criteria is needed. The Puget Sound Region offers to work with the SRFB and Puget Sound lead entities to develop a process that can be applied to Round 8.

Should the Review Panel's time be allocated by Region, given the Panel's time and budget constraints? If so, clarify the basis for the allocation, when the resources of the Review Panel would be needed (e.g. early, late) and what their focus would be.

This is a difficult question to respond to without having had the opportunity to discuss the potential effects on the 14 Lead Entities of the Puget Sound Region. The best approach might be allocating time by Lead Entities rather than by Region, giving attention to the need to review each project and its technical merits. In this connection, it is important to recognize that building in field time for Review Panel members to view project sites can be critical. As well, it is important to have sufficient time to review new information following any POC designations. Trying to estimate and allocate time in advance of working with each Lead Entities' lists could be problematic.

5. Relationship between Multi-year Implementation Plans and/or Habitat Work Schedules and Actual Project Lists. Towards this end:

Describe your implementation plans and/or habitat work schedules and how they will be used to develop project lists

The Puget Sound Salmon Recovery Plan adopted by NOAA in 2007 provides ten-year action plans to get on a trajectory that will lead to recovery. In 2006, watersheds, including Lead Entities, each developed a proposed list of capital and non-capital projects that could be undertaken during the first three years of plan implementation. The Puget Sound TRT reviewed the project lists for consistency with the recovery goals, strategy, and prioritization. Emphasis

was put on habitat projects by most of the watersheds. This year, in preparation for Round 8, watersheds are updating their three-year project lists with attention to prioritization and sequencing. Projects included on the Habitat Work Schedule will be included in the three-year update.

Describe the extent to which the technical reviews of implementation plans and/or habitat work schedules have occurred (or will occur), as a means to ensure consistency with strategies and recovery plans and the extent to which your project lists are a part of that review.

The Puget Sound TRT will review updated project lists in April 2007 and will conduct a second consistency check in late August/early September. Between now and April, at least one member of the TRT is meeting with each watershed to discuss project fit to strategy, prioritization and sequencing, and monitoring and adaptive management. The questions to be asked during the April review are provided above, in our response to Question 2.

Local watersheds' technical committees also review the project lists for technical merit and strategic sequencing of actions before they reach the Region.

To what extent will you use pre-application workshops to obtain key project information from applicants early in the 2007 grant cycle?

WRIA 1 (WRIA 1 Salmonid Recovery Board)

WRIA 1 expects to follow similar procedures to last year. We held a pre-application workshop for potential project sponsors to identify WRIA 1 Salmonid Recovery Board priorities. We required project outlines prior to field visits to frame project ideas early enough to be able to incorporate local policy, technical and citizen feedback.

WRIA 2 (San Juan County)

Pre-application workshops have not been part of the SRFB process for San Juan County. Potential sponsors are encouraged to attend the pre-application workshops provided by SRFB staff. WRIA 2 is not adverse to implementing local pre-application workshops but the feedback thus far has been that the project sponsors are too overburdened as it is and do not wish to have one more step and meeting to attend. It appears that we would receive little, if any, participation in pre-application workshops at this time but we are willing to continue to discuss this with out local sponsors.

WRIAs 3 and 4 (Skagit)

Pre-application workshops have not been part of the Skagit process.

WRIA 5 (Stillaguamish)

We intend to begin the next Stillaguamish SRFB grant cycle by reviewing project ideas with potential project sponsors at our April 20th Technical Advisory Group (TAG) meeting. We will formalize this process by asking potential project sponsors to prepare potential project summaries in advance of the TAB meeting. We will then use these potential project summaries

to answer questions at the TAB meeting and get early feedback from the TRT and SRFB Review Panel.

WRIA 6 (Island)

The WRIA 6 process includes a requirement that project sponsors submit letters of intent detailing initial project, project sponsor, and project partner information. The letters of intent are due during the first month of the local SRFB process and are generally received prior to the SRFB pre-application workshops. The local process also includes mandatory project sponsor participation in a draft application review workshop/field visit. There is no plan to use the pre-application workshops to collect information about local proposals.

Snohomish River Basin (WRIA 7)

The Snohomish River Basin does not currently use pre-application workshops as part of the SRFB process. Project sponsors submit a “letter of intent” to submit a project for SFFB funding. This list is used by the Lead Entity to set a meeting schedule for a tour of the project sites with both the local technical review committee and the SRFB Review Panel. The initial review of projects and the field tour provides feedback on the projects’ technical or community value of the projects or areas of concern.

WRIA 8 (Lake Washington/Cedar/Sammamish)

Lake Washington, Cedar, Sammamish (WRIA 8) will not use a pre-application workshop but will work directly with all project sponsors that express interest in submitting a pre-application.

WRIA 9 (Green/Duwamish)

WRIA 9 does not intend to use pre-application workshops. Our focus will be informing potential project applicants of the habitat work schedule projects (priority projects) and encouraging applications for the most important projects. The means for doing this will be through one-on-one conversations.

WRIAs 10/12 (Puyallup/White and Chambers/Clover Creek)

Pierce County Lead entity will evaluate the need for pre-application workshops should new project sponsors be identified. For the main, the limiting factors for projects remain the level of available funding and a dearth of new project sponsors.

WRIA 11 (Nisqually)

The Nisqually River Council does not use pre-application workshops. Prior to the start of each SRFB round, the three year work plan, which includes habitat, harvest and hatchery actions, is assessed and updated, and meeting participants discuss potentially important projects that could be added to the project list. When the Round starts, press releases are prepared and e-mail notices are broadly distributed inviting Letters of Intent. Resulting project ideas and proposals are considered by the local technical group, the Nisqually Salmon Habitat Workgroup, and at monthly meetings of the Nisqually River Council.

WRIA 13

Project sponsors are required to submit a letter of intent that contains a brief project description, an estimated budget, project partners, and sponsor information. Timelines are established for site

visits early in the process so that sponsors can receive feedback on the technical and outreach components of their project so that they make necessary adjustments. Potential project sponsors are encouraged to participate in monthly Lead Entity committee meetings so that they can share ideas on projects and get feedback as early as January, which is before the Round actually begins. We also require a rough draft that is reviewed by the Technical Advisory Group. Sponsors discuss the merits of the project with the TAG and are given ideas to broaden the partnership and strengthen the project, as appropriate. WRIA 13 does not plan to utilize the pre-application workshops in 2007. However, WRIA 13 participates in the SRFB application workshops.

East Kitsap (WRIA 15)

East Kitsap has not yet decided whether to sue pre-application workshops in the 2007 grant cycle.

Hood Canal Coordinating Council (WRIAs 14, 15*, 16, 17*)*

As with most past rounds, formal pre-application workshops will be a part of our local process.

North Olympic Peninsula Lead Entity (WRIAs 17, 18, 19)*

The North Olympic Peninsula Lead Entity (NOPLE) hopes to run an earlier process this round because of the large workload and juggling a bifurcated lead entity. If the SRFB application workshops are available early on, that is always a good time to gauge interest from project sponsors in attendance. However, attendance at the workshop does not always mean a project proposal will be forthcoming, and project proposals sometimes come from those not in attendance. NOPLE plans to continue to require that project applicants submit a pre-proposal and make a pre-proposal presentation prior to conducting site visits. These procedures have worked well for the project applicants in terms of getting needed technical review early on and letting the lead entity know what projects are proposed.

What specific research and/or data gaps stand in the way of implementing your three-year project list? Do you believe the SRFB is the appropriate source of funding for these? What other potential funding sources exist to address research and /or data gaps?

The Region needs to discuss this question with each of the 14 Lead Entities before it can provide a full response. The need for habitat assessments and for studies to gauge the effectiveness of tools and programs intended to protect salmon habitat was evident during Round 7. During its review of the draft recovery plans and project lists from watersheds/lead entities, the TRT identified uncertainties that should be addressed through plan implementation, monitoring, and adaptive management. Since then, some of the recovery groups have advanced their efforts to achieve Habitat-Harvest-and Hatchery Integration. Their progress during 2006 is expected to be reflected in their updated lists currently being developed. Some lead entities have suggested that the SRFB could assist in helping to raise the importance of monitoring maintenance and adaptive management to improve project effectiveness and capacity of project sponsors. The Region expects to be able to identify specific research needs in April, after reviewing the three-year list updates. In the meantime, we are pleased to work with the SRFB to develop policies that enable a lead entity to propose funding for studies that address specific data gaps. This should be done in conjunction with reviewing eligibility criteria.

For the last three years, the Puget Sound Salmon Recovery Council has directed staff and subcommittee members to explore diverse funding sources, including the National Fish and Wildlife Foundation, mitigation opportunities, private foundations, and funding for hatchery management and facility modifications. The 14 watersheds, including Lead Entities, have become increasingly active in seeking funding for projects outside of the SRFB. The lead entities and Region are continuing this work in earnest.

6. Relationships to Target Regional Allocations

How closely will your list of projects adhere to the SRFB's target allocation amounts and by what date will this list be completed?

The Region anticipates that Lead Entities will identify projects that meet or are close to the allocation amounts. The question that the Region needs to explore with the Lead Entities is whether they submit lists that reflect additional projects in the event that a portion of the regional allocation is not used (see homework question below). We anticipate that project lists will either be close to or at the targeted allocation, or close to or at the targeted allocation, with a line drawn to reflect additional projects in the event that a funded project is withdrawn or funded from a non-SRFB source.

It is important to acknowledge that meeting a target allocation can be somewhat problematic for Lead Entities and for the Region. For Round 7, some Puget Sound Lead Entities prepared project lists that met the allocation exactly or as close to the allocated amount as possible. The Nisqually, for example, prepared a list which was \$28 below the target allocation. Because the Lead Entities had developed a process for use in the event that a lead entity would not use the full amount of its allocation, the "available" funds were donated/transferred for the use of another watershed. Although the process was straightforward, the time in which the Region and lead entities had to reconcile their targeted allocations with the lists was limited. Three options to discuss with Lead Entities come to mind:

- 1) It seems reasonable to suggest that the SRFB process for Round 8 provide a period of time, say, five days, for these inter-watershed, intra-regional transfers to be made.
- 2) The funds remaining after project lists are funded could be re-directed toward proposed research projects that would benefit the Region (with the Puget Sound Region's approval).
- 3) The SRFB could build something like an escrow account for the Region that would grow and be available for use for cross watershed/Lead-Entity research that would benefit the region or for watersheds/Lead Entities whose recovery planning areas are subjected to an unforeseen catastrophic event requiring an injection of funds for projects or research.

The Region is meeting with watershed recovery plan implementation leads/Lead Entities in March and will pursue this question. This will enable us to provide a recommendation at the same time we provide the intro-regional funding allocation (per Question 1.).

Should the SRFB allow sponsors to make *post-funding* scope or cost changes decided in November and early December 2007, if needed to fit regional allocations? What are the process implications for you and the SRFB, and how would the Review Panel be involved?

Scope changes made by sponsors after the list is submitted in September could be problematic and create something of a nightmare in terms to the Region being able to work with each Lead Entity to ensure that the targeted allocations are met (or close). Scope changes made pursuant to a request by the Technical Review Panel, however, should be accepted. Presumably, these would be made in the event of projects being identified as POCs and could be accommodated as long as the Review Panel, Lead Entity(ies) and sponsor(s) observe a reasonable timeframe (which would also be also reflected in the policy manual).

The Region will appreciate discussing this question with Lead Entities and IAC/SRFB staff in March prior to providing a firm response.

Should the SRFB encourage regional organizations or lead entities to submit *additional projects* in the event that a portion of the regional allocation is not used due to a funded project being withdrawn or receiving funding from a non-SRFB source?

The Region is reluctant to respond to this question fully without taking the opportunity to discuss it with Lead Entities. It seems reasonable to suggest that lead entities submit project lists in September that honor the target allocation, and then, with a line drawn at the allocation, list projects whose amount would exceed the target allocation so that substitution for a project approved for funding would be possible. Exercising this option, however, has process implications that should be addressed.

7. Other Recommendations for the SRFB Regarding:

Streamlining the 2007 grant process, including the review and revision of project proposals? In answering this question, please remember the importance of the SRFB being able to demonstrate to state and federal lawmakers the transparency and effectiveness of the salmon recovery programs

Addressing issues identified in Question 4 should accomplish this.

Modifying or clarifying project eligibility criteria (e.g. research, assessments or other)?

As indicated in responses to questions above, the Region will appreciate an opportunity to discuss this question with Lead Entities in March and will respond at the time the intra-regional allocation recommendation is provided to the SRFB.

What else would you like the SRFB to consider as they develop policy and set the expectations for the 2007 grant round?

The Region requests the SRFB to consider funding research and/or projects that cross Lead Entity boundaries under criteria developed by the Region and lead entities, with the

understanding that the regional technical review and the SRFB Panel Review will occur as they do with other projects proposed by lead entities.

Which of the above issues are better suited for resolution in the 2008 grant round?

The Region believes that there is sufficient time between now and when the Round 8 manual is distributed to address the issues identified above.

2007 SRFB Grant Cycle

Homework Assignment for Salmon Recovery Regions

Due date: 8:00 a.m. February 20, 2007

REGION: Snake River

PREPARED BY: Steve Martin

DATE PREPARED: February 15, 2007

Questions:

1. Intra-regional Funding Allocations:

- What changes, if any, will you be making to the *criteria* for determining your intra-regional funding allocations?
 - No Changes will be made as we will continue to use the Viable Salmonid Population criteria to guide funding
- What changes do you anticipate making in the *actual funding* allocations?
 - No changes are planned to the existing two-step decision making process (1) technically sound based off the VSP criteria and (2) community support
- Does your regional organization want to allocate a portion of its target allocation to the highest priority needs for *research and/or /data gaps*, as identified in your recovery plan? If so, what portion of your allocation would you use for this, either at the lead entity or regional level?
 - We would like to be able to allocate up to 20% of our regional allocation for research consistent with the needs identified in the Regional Recovery Plan and the Statewide Monitoring Strategy. We will need clear definitions of research and data gaps as monitoring is critical to filling recovery criteria data gaps but we understand monitoring is not eligible.
- What direction on this topic should the SRFB provide for the 2007 grant cycle and the 2008 grant cycle?
 - Clear definitions and examples of what constitutes filling a data gap or research.
 - Consideration of a grant round for monitoring in the future also warrants discussion.

2. Local Technical Review (for the region and their associated lead entities/watershed(s), as appropriate):

- Describe the local technical review process in your region, and the type and rationale for the interaction(s) you think should occur between your local technical review process and the SRFB Review Panel.
 - The local technical review process for the 8th round will consist of three steps
 1. Informal project discussions with potential sponsors

- 2. Formal project review prior to submittal to Lead Entity
- 3. Final project ranking consistent with recovery plan
- What changes will you be making to your local technical review for the 2007 grant cycle – and what additional direction do you think the SRFB should provide regarding local technical review?
 - The three step review process will be more extensive than the 7th round
 - The SRFB should endorse the local technical review process but must provide a statewide review panel for local technical teams to correspond with
- What improvements to Attachment-A would help clarify how technical review has and will occur in your region?
 - The Attachment needs updated consistent with current information but otherwise seems to contain the important information for the Lead Entity, Regional Board, SRFB and RP necessary to understand the process and roles.
- The SRFB has stressed the importance of the local technical reviews being *independent*.
 - Describe what “*independent*” means to you.
 - Independent means that technical review occur separate to the citizens committee review and that independent technical review be used to guide citizens ranking
 - To what extent is your local technical review currently independent and in what way(s) do you expect it to change?
 - In the 7th round the technical review occurred concurrent with the citizen review.
 - In the 8th round we will ask the regional technical team to evaluate each proposal independent of the citizens review but be used to guide citizens ranking of the projects
 - What guidelines should the SRFB provide to better achieve “independent technical reviews”?
 - The SRFB may want to require that the regional technical teams provide their independent review to the lead entity team

3. Public Participation:

The SRFB has stated its preference for local citizen and stakeholder participation to be active, transparent and engaged. Towards this end:

- To what extent is your local process open to the *public and local governments* and how did it work in 2006?
 - Our local process is advertised and requests the public and local governments participation. This is the best we can do without actually paying for this involvement. This has work relatively well in previous rounds as the public (watershed planning units) and citizens participate in the decision making process.
- What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?
 - Continued advertisement of the process and continued requests for support from the watershed planning units

4. SRFB Review Panel:

- What role should the Review Panel play, and how would it be different from 2006?
 - The role the RP played in 2006 was clear, transparent and helpful, and will hopefully remain the same in 2007
- Should the Review Panel's *time* be allocated by region, given the Panel's time and budget constraints? If so, clarify the basis for the allocation, when the resources of the Review Panel would be needed (e.g., early, late), and what their focus would be.
 - The RP's time should be allocated by region and the regional organizations should work with their lead entity partners to identify when the RP would engage and what their focus should be.

5. Relationships Between Multi-Year Implementation Plans and/or Habitat Work Schedules and Actual Project Lists. Towards This End:

- Describe your implementation plans and/or habitat work schedules and how they will be used to develop project lists.
 - Our implementation plans are 18-month, 5-year and 15-year project lists by priority area and we ask that sponsors identify projects on these lists that they can implement.
- Describe the extent to which the technical reviews of implementation plans and/or habitat work schedules have occurred (or will occur), as a means to ensure consistency with strategies and recovery plans, and the extent to which your project lists are a part of that review. (See Attachment-A for a draft summary of the various technical review roles by salmon recovery region.)
 - The implementation plans were reviewed by the technical team for consistency with the recovery criteria in the region.
 - We will add a scoring criteria for project review in 2007 that reflects project's consistency with the implementation schedule.
- To what extent will you use *pre-application workshops* to obtain key project information from applicants early in the 2007 grant cycle?
 - This is a critical step to share information and guide sponsors prior to them finalizing their project applications and we will use the pre application workshop in the upcoming round.

What specific *research and/or data gaps* stand in the way of implementing your three-year project list? Do you believe SRFB is the appropriate source of funding for these? What other potential funding sources exist to address research and/or data gaps?

- The ecosystem diagnosis and treatment model was the foundation for describing the primary limiting factors and unfortunately many of the parameters used to populate the model were based on best professional judgement and since the level of confidence was low for some of the parameters but the parameter was a strong driver in the model's outcome it is critical that these key critical uncertainties (data gaps) be filled to ensure that the "true" significant limiting factors are being addressed.

6. Relationships to Target Regional Allocations:

- How closely will your list of projects adhere to the SRFB's *target allocation* amounts, and by what date will this list be completed?

- As in the 7th round our project request will be consistent or very close to the regional allocation.
 - This will occur prior to list submittal in September.
- Should the SRFB allow sponsors to make *post-funding* scope or cost changes decided in November and early December 2007, if needed to fit regional allocations? What are the process implications for you and the SRFB, and how would the Review Panel be involved?
 - Yes the regional organizations should be allowed to work with project sponsors to make post-funding scope or cost changes to fit the regional allocation
 - There should be no implications so long as the regional project list budget is consistent with the allocation limit.
 - The review panel should be engaged by the local technical team if the scope change results in a project that is not consistent with the original application as review and ranked by the Lead Entity
- Should the SRFB encourage regional organizations or lead entities to submit *additional projects* in the event that a portion of the regional allocation is not used due to a funded project being withdrawn or receiving funding from a non-SRFB source?
 - Yes an “additional projects list” should be prepared in the event that one of the higher ranked projects is funded by another source or withdrawn by the sponsor.

7. Other Recommendations for the SRFB Regarding:

- Streamlining the 2007 grant process, including the review and revision of project proposals? In answering this question, please remember the importance of the SRFB being able to demonstrate to state and federal lawmakers the transparency and effectiveness of the salmon recovery program.
 - We believe that the grant process is as streamlined as possible considering all of the internal and external constraints
- Modifying or clarifying project eligibility criteria (e.g. research, assessments, or other)?
 - We replied to this issue above but to reiterate, definitions and examples of research and assessments would be helpful for project sponsors
 - Monitoring to evaluate effectiveness and to validate the overall program would be a helpful project category for the SRFB to consider
- What else would you like the SRFB to consider as they develop policy and set the expectations for the 2007 grant round?
 - Allowance for those sponsors who have not yet secured cost share due to grant cycles (WWRP, NFWF, BPA, etc) to be provisionally granted SRFB funds would be helpful
 - Consideration for monitoring projects needed to evaluate status and trends, project effectiveness and to validate fish response
- Which of the above issues are better suited for resolution in the 2008 grant round?
 - Monitoring eligibility and definition
 - Provisional funding for projects that have not yet secured cost-share due to misaligned funding cycle

- Of importance to the Snake River Region and likely other Columbia Basin regions:
 - The data gaps identified in the Snake River Salmon Recovery Plan potentially just got to be much larger (worse) if BPA terminates much of the RM&E funding we had until now. We may not have funding for many of the bull trout spawning surveys that we have been doing, and we may lose other monitoring for adult escapement for steelhead (adult escapement is a primary fish monitoring need) identified as a priority in the RM&E section of the SRSR plan. The adults in and smolts out monitoring in the Asotin drainage has been identified for no funding by BPA after early 2008 or so. These are primary fish monitoring needs to determine if the habitat actions make any difference to the fish populations and for stock status monitoring. In addition, we have habitat monitoring needs related to EDT data gaps and development of the baseline conditions, or for habitat trends, or for monitoring effectiveness of the habitat actions. We were short of data when we did EDT modeling, but funding and monitoring has been declining since then. BPA has just cut the Walla Walla habitat monitoring project that was a collaborative with the Watershed Council, CTUIR and WDFW. Now there may be little or no habitat monitoring in the Walla Walla Basin.
 - Our specific monitoring needs are identified in the new chapter for RM&E in our plan. The SRFB is an appropriate funding source for RM&E, along with BPA, States, USFWS, NMFS and others. However, currently in the Snake River Region monitoring is funded primarily by BPA and they are cutting back. At this point in time there are not any other funding sources than BPA. Hopefully, in the next 6 months to 1 year other funding partners will step up to fill the void. SRFB has to be a major player in that effort or the partners will not be able to monitor listed populations or their habitats for delisting or measuring progress towards reaching goals.

2007 SRFB Grant Cycle

Homework Assignment for Salmon Recovery Regions

Due date: 8:00 a.m. February 20, 2007

REGION: Upper Columbia Salmon Recovery Board

PREPARED BY: Chuck Jones, UC Lead Entity Coordinators, and UCSRB Staff

DATE PREPARED: February 2007

Questions:

1. Intra-regional Funding Allocations:

- What changes, if any, will you be making to the *criteria* for determining your intra-regional funding allocations?

The three Upper Columbia Lead Entities (Lead Entities) and the Upper Columbia Salmon Recovery Board (UCSRB) identified a need for a Joint Citizens' Committee that is comprised of representatives from each Lead Entity in the region in April of 2006. The UCSRB also directed the Lead Entities to establish guidelines for allocation of funds within the region.

The Lead Entities met on 8 May 2006 to develop a provisional framework for allocation of funds within the Upper Columbia, based on two general criteria: 1) historical allocation of SRFB funding among the three Lead Entities and 2) consistency with the regional biological priorities established in the Upper Columbia Biological Strategy (RTT 2003). Since the previous SRFB grants have matched the regional priorities in the recent grant cycles, the Lead Entities considered these criteria to be an appropriate interim guideline for funding allocation. Moreover, the biological priorities in the Regional Strategy closely match those in the draft Salmon Recovery Plan (Draft, UCSRB 2005). The Lead Entities presented these guidelines for internal allocation to the UCSRB on 25 May for review and adoption. The Lead Entities then submitted the guidelines to the SRFB as part of their "Homework for Regional Organizations" as requested by Neil Aaland in his memo of 20 April, 2006.

The Upper Columbia region will continue to use the process outlined above for the next round of project allocations. It is planned to refine this allocation process in subsequent years by utilizing the Upper Columbia Salmon Recovery Plan (UCSRP) Implementation Schedule (IS) as a guide. Funding (including cost sharing opportunities) will be identified in the IS to ensure that the projects necessary for recovery are being implemented.

- What changes do you anticipate making in the *actual funding* allocations?

This will be determined through consensus at upcoming Citizen Advisory Group meeting and Upper Columbia Salmon Recovery Board meetings. The Upper Columbia Lead Entities reached consensus on the above mentioned allocation

strategy. All Lead Entities were involved in the creation of the UCSRP and the IS. This ensures involvement by the LE's. With the allocation strategy, both interim and future, all Upper Columbia Lead Entities and their associated citizens committees are involved. This citizen stakeholder involvement will continue to ensure equitable distribution of funds.

- Does your regional organization want to allocate a portion of its target allocation to the highest priority needs for *research and/or /data gaps*, as identified in your recovery plan? If so, what portion of your allocation would you use for this, either at the lead entity or regional level?

There are funds targeted for coordination of monitoring by the UCSRB in their allocation (to be presented as part of the UCSRB 2007-2009 proposal and budget). In addition, the UC RTT is in the process of developing a Data Stewardship program and to seek funding to support this effort either through the SRFB or other sources or a combination of both. The Chelan County Natural Resource Department has developed a document, *Project Monitoring: A Guide For Sponsors in the Upper Columbia Basin* (BioAnalysts, 2005), which the Lead Entities and the UCSRB are considering for use throughout the region.

- What direction on this topic should the SRFB provide for the 2007 grant cycle and the 2008 grant cycle?

The Upper Columbia Salmon Recovery Board is interested in guiding the monitoring process through the Lead Entities, Regional Technical Team and continues seeking funding assistance and statewide guidance for monitoring. Additional funding for the region is necessary at the Lead Entity level to complete, or to assist project sponsors to complete, adequate monitoring for project effectiveness and cumulatively assessing the fish populations towards the goal of recovery.

2. Local Technical Review (for the region and their associated lead entities/watershed(s), as appropriate):

- Describe the local technical review process in your region, and the type and rationale for the interaction(s) you think should occur between your local technical review process and the SRFB Review Panel.

The Upper Columbia Regional Technical Team (RTT), comprised of 14 members identified as the formal local technical advisors in the draft Upper Columbia Salmon Recovery Plan, has provided formal technical review for the three Upper Columbia Lead Entities since 2001. At that time it developed a procedure to rate projects on their technical merits and consistency with regional biological priorities (RTT 2001) and refined those criteria in for the 4th SRFB Round (RTT 2003). It was the first technical team in the state to establish biological priorities at an ESU scale. These biological criteria were used in the SRFB second through sixth rounds.

After the UCSRB adopted the draft Salmon Recovery Plan in June 2005, the RTT revised the criteria based on the Plan and Lead Entity comments and formally adopted them on 10 May 2006. The RTT chair then presented the final

regional technical criteria at the SRFB-sponsored Project Sponsor Workshop in Chelan on 28 June 2006.

The RTT technical criteria are described in detail in the Attachments, and are summarized as follows:

- Benefit to VSP abundance and/or productivity;
- Benefit to VSP spatial structure and/or diversity;
- Does it address one or more limiting factors identified in the Recovery Plan?
- Is this a priority watershed for the populations?
- Is the project in an assessment unit that is part of or includes a major or minor spawning area?
- Is this project dependent on other key conditions or processes being addressed first (sequencing)?
- Is the project design adequate to achieve the stated objectives?
- Permitting feasibility;
- Reflection of cost estimate on all expected tasks;
- Is implementation monitoring adequate?

It is expected that the SRFB will continue to participate by going on project tours and formal review of projects. The purpose of the tours is to evaluate the projects on site and to provide additional comments to the sponsors on means to improve the technical merit of their projects. These tours also facilitate productive discussions among the RTT, Citizens' Committees, and SRFB Review Panel on local priorities in project development.

- What changes will you be making to your local technical review for the 2007 grant cycle – and what additional direction do you think the SRFB should provide regarding local technical review?

There are no plans on making any major changes to the technical review, although some minor clarifications may be added to enhance understanding and streamline the review process.

- What improvements to Attachment A would help clarify how technical review has and will occur in your region?

The “Technical review of multiyear project implementation plans or habitat work schedules” will likely be done by the local watershed action teams (Watershed Planning Units or similar functional group) in conjunction with the Lead Entities and/or counties (capital projects are included in local Capital Facilities Plans in some cases). The remaining elements listed appear to be correct.

- The SRFB has stressed the importance of the local technical reviews being *independent*.
 - Describe what “*independent*” means to you.
 - To what extent is your local technical review currently independent and in what way(s) do you expect it to change?

- What guidelines should the SRFB provide to better achieve “independent technical reviews”?

The UCSRB established the Regional Technical Team in 2001 to provide reviews for projects proposed through the Lead Entity process in three counties, Chelan, Douglas and Okanogan. As a part of the development of the RTT, the Board and participants felt that the RTT needed to be independent of the Board and Lead Entities in such a manner as to minimize conflicts of interest and separate policy and social aspects from the biological review of projects. This has been the crux of the relationship, giving an independence of the two review aspects- citizen advisory group reviews and biological, or scientific, review.

The Regional Technical Team has developed and formally adopted Operating Procedures (see Attachment). Within that document the pertinent section towards independence is the *membership*:

The RTT shall consist of persons with appropriate technical skills and shall be appointed by the RTT. The RTT may consist of members of private, tribal, public utility, and government entities, but is not representational of these entities. A team member must possess a strong technical background and knowledge of salmonids and their habitats in the Upper Columbia Region. To reduce the potential for conflict of interests, RTT members must place no vested interest in a particular sub-basin or activity within the region, and reflect regional responsibilities in their deliberations.

The region has successfully used the adopted organization and review process, to successfully produce a multitude of projects and products.

3. **Public Participation:**

The SRFB has stated its preference for local citizen and stakeholder participation to be active, transparent and engaged. Towards this end:

- To what extent is your local process open to the *public and local governments* and how did it work in 2006?

Project rankings within Lead Entities will be made by their respective citizen committee. Since each LE in the Upper Columbia area spans at least two watersheds, rankings across these watersheds will be accomplished. The Upper Columbia Citizen Committee will rank projects regionally across Lead Entities.

With regard to the UC Salmon Recovery Board- nearly 9 months over the last 15 months were dedicated to open public processes to present, review and take comments on the UC Salmon Recovery Plan, and revise as appropriate. NOAA Fisheries and the UCSRB are currently in the process of reviewing the comments on the final draft being submitted through the Federal Register Notice.

- What changes or improvements in public participation do you anticipate making in the 2007 grant cycle?

For Lead Entities

In the previous round the citizen committees rank their projects in each Lead Entity. A composite Upper Columbia Citizens Committee will be formed from members of the individual LE citizen committees and a meeting convened to create an overall ranked Upper Columbia Project List. There are no expected changes in the next grant cycle.

The UCSRB will continue providing public participation through workshops and open monthly meetings of the Board, use of the website, and assisting Lead Entities with public forums on salmon recovery with coordination of the Salmon Recovery Plan goals and objectives. The new and revised specific tasks for the UCSRB during the 2007-2009 biennium are:

- Conduct regional public relations and local outreach.
- Continue to communicate and garner support for the implementation of the recovery plan both within the region and outside the Upper Columbia.
- Work with USFWS on public outreach efforts for plan review through the federal register process.
- Report progress: produce a report on regional salmon recovery activities and progress based on Watershed Action Teams, monitoring results, and other related recovery efforts to share with state and federal entities and other interested groups within and beyond the Upper Columbia region. The report will be provided in a form suitable for inclusion in *State of Salmon* and other reporting requirements of GSRO, IAC, and the SRFB.

4. SRFB Review Panel:

- What role should the Review Panel play, and how would it be different from 2006?

The UCSRB and Lead Entities do not foresee any substantial changes in the role of the SRFB in the next review cycle.

- Should the Review Panel's *time* be allocated by region, given the Panel's time and budget constraints? If so, clarify the basis for the allocation, when the resources of the Review Panel would be needed (e.g., early, late), and what their focus would be.

The region benefits from having the Review Panel tour the area for the projects proposed annually, as well as expertise in specialized areas, to assist with communication and understanding of the projects and the regional needs. While travel time is long because of the size of the region, it is necessary to envision the scale of recovery and projects in the region.

5. Relationships Between Multi-Year Implementation Plans and/or Habitat Work Schedules and Actual Project Lists. Towards This End:

- Describe your implementation plans and/or habitat work schedules and how they will be used to develop project lists.

As the Upper Columbia Salmon Recovery Board moves forward on implementation of the Upper Columbia Salmon Recovery Plan with NOAA Fisheries, the SRFB can be assured that the most complete recovery strategy

available is being implemented in our region. With that strategy, the UCSRP Implementation Schedule outlines the pathway for project focus and development that maximizes the investments by the SRFB. Significant outreach has occurred during the development of the Upper Columbia sub-basin and recovery plans. This coordination will ensure that projects are based on best available science and are locally supported.

The Lead Entities will work with the Implementation Plan and Schedule and their local watershed action teams and project sponsors to develop project lists within the watersheds and, through regional coordination, create annual project lists.

- Describe the extent to which the technical reviews of implementation plans and/or habitat work schedules have occurred (or will occur), as a means to ensure consistency with strategies and recovery plans, and the extent to which your project lists are a part of that review. (See Attachment for a draft summary of the various technical review roles by salmon recovery region.)

As previously discussed, the UC Salmon Recovery Plan has an Implementation Plan and Schedule created with the assistance from the local watershed action teams and LE's. The Plan and Schedule will be used to develop regional coordinated annual project lists. Because of how the Implementation Plan and Schedule was developed with the local entities, the project lists will continue to be consistent with local and regional goals and objectives.

The UCSRB has identified these tasks for improving updates and coordination of the regional efforts:

- Update the mid-range (3 year) Implementation Plan, which includes efforts to secure commitments by local governments and others to the plan. This may be in the context of updating a longer, multi-year implementation schedule for the recovery plan.
 - Manage Plan update and continue coordination with federal processes for implementation of salmon recovery actions, particularly FCRPS Biological Opinion, the Northwest Forest Plan, Chelan and Douglas PUD HCPs, and other processes.
 - Ensure that the Upper Columbia biological and monitoring strategies are consistent with the Implementation Plan/Schedule.
 - Integrate U.S. Fish and Wildlife Service (USFWS) needs for Bull trout recovery in the Plan. Work with USFWS to integrate portions of the Board's recovery plan for bull trout into the final federal recovery plan.
- To what extent will you use *pre-application workshops* to obtain key project information from applicants early in the 2007 grant cycle?

The UC lead entities use a formal pre-application process to initiate consultation with prospective project sponsors prior to the beginning of the SRFB process.

We feel that this is an important first review and fix-it loop for our local CAC, and RTT.

- What specific *research and/or data gaps* stand in the way of implementing your three-year project list? Do you believe SRFB is the appropriate source of funding for these? What other potential funding sources exist to address research and/or data gaps?

While the Upper Columbia Salmon Recovery Plan has identified gaps in research and/or data, with limited funding available, the region would like to focus SRFB funds on projects, monitoring and adaptive management. Some funding sources for research and data gaps include BPA, FCRPS Biological Opinion (multiple agencies), the Northwest Forest Plan, Chelan and Douglas PUD HCPs, and others

6. Relationships to Target Regional Allocations:

- How closely will your list of projects adhere to the SRFB's *target allocation* amounts, and by what date will this list be completed?

The local and regional lists of projects typically exceed the target allocation, as they are dependent on funding mechanisms and review processes. In addition, since recovery cannot be achieved solely through SRFB funding alone, local watershed action teams and agencies seek resources from a multitude of different processes to work toward the goals and objectives in the UC Salmon Recovery Plan.

- Should the SRFB allow sponsors to make *post-funding* scope or cost changes decided in November and early December 2007, if needed to fit regional allocations? What are the process implications for you and the SRFB, and how would the Review Panel be involved?

We feel post funding scope or cost changes can be done in an acceptable procedure. Specifically if we have partial funding and some time to change projects or reduce need or scope, for example a willing sponsors amount for a conservation easement.

The Upper Columbia Board is currently discussing the specifics of this issue. At this time, a proposed project would be funded if it is identified on our Implementation Schedule as a multi-phase or multi-year project. Other projects would need to clearly demonstrate either their certainty of success in obtaining additional funding, or effectiveness if only partially completed. Partially funded projects would be clearly highlighted for cost-sharing opportunities to ensure that critical components of the project are funded. By combining multiple funding opportunities, the LE's are confident that the core recovery projects will be implemented.

- Should the SRFB encourage regional organizations or lead entities to submit *additional projects* in the event that a portion of the regional allocation is not used

due to a funded project being withdrawn or receiving funding from a non-SRFB source?

Yes. As described above, additional projects are developed either as part of the Lead Entity process, or other local processes to work towards the goals and objectives of the UC Salmon Recovery Plan. Within the UC Salmon Recovery Implementation Plan and Schedule many projects have been outlined that will need to be funded in future years, and many over multiple years.

7. Other Recommendations for the SRFB Regarding:

- Streamlining the 2007 grant process, including the review and revision of project proposals? In answering this question, please remember the importance of the SRFB being able to demonstrate to state and federal lawmakers the transparency and effectiveness of the salmon recovery program.
Nothing really, other than being aware of other funding processes and potentially be willing to compromise for a unified process (i.e. Applications).

- Modifying or clarifying project eligibility criteria (e.g. research, assessments, or other)?
The current project eligibility criteria are adequate.

- What else would you like the SRFB to consider as they develop policy and set the expectations for the 2007 grant round?

Consideration should be given to improve certainty to LE's and project sponsors when multiple funding sources are used for a project. A similar issue exists for projects that are phased over multiple years. Also, a mechanism to address projects of concern needs to be developed.

- Which of the above issues are better suited for resolution in the 2008 grant round?
Improving certainty as stated in the previous question.

Attachments (available upon request)

Draft UCSRB SOW

RTT Operating Procedures

Project Effectiveness and Monitoring Report (BioAnalysts)

2003 Biological Strategy

UCSRP Implementation Plan and Schedule

RTT Technical Review Criteria

Joint Upper Columbia Citizens' Committee Regional Ranking Criteria