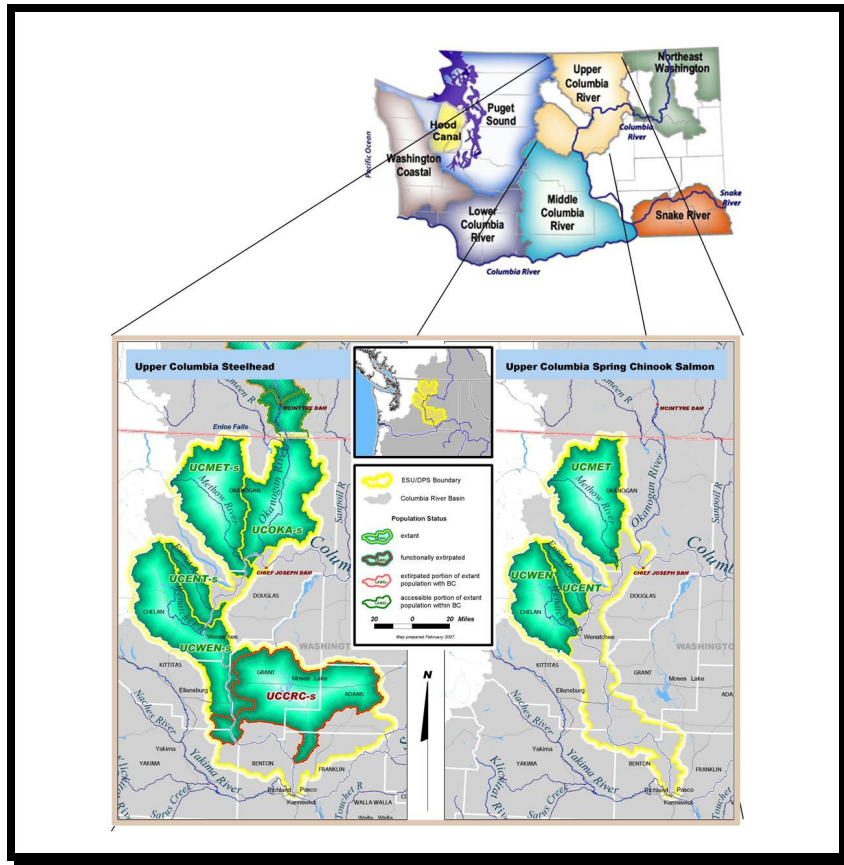


# PROCESS GUIDE

FOR DEVELOPING AND SUBMITTING SALMON HABITAT RESTORATION PROJECTS IN THE UPPER COLUMBIA REGION FOR FUNDING THROUGH THE SALMON RECOVERY FUNDING BOARD (SRFB), BONNEVILLE POWER ADMINISTRATION (BPA), AND TRIBUTARY COMMITTEES\*



VERSION 3.3 - 2011

\* Developed by Lead Entities in cooperation with the UCSRB and the Tributary Committees for use during the 2011 12<sup>th</sup> Round of SRFB funding, Chelan and Douglas County PUDs Tributary Funds and BPA Upper Columbia habitat programmatic funds (when available).

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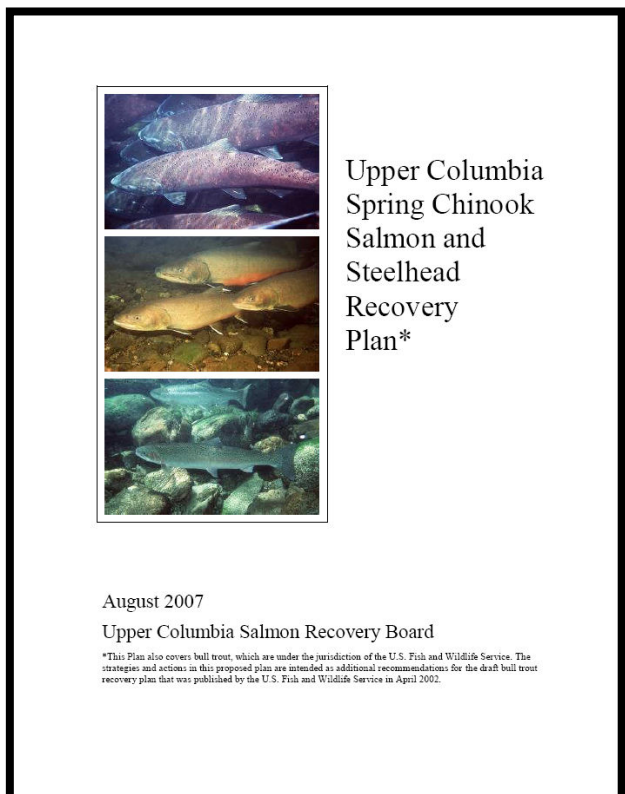
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## EXECUTIVE SUMMARY

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The following Process Guide is intended to document the process through which a potential habitat restoration project proponent, technical reviewer or citizen will participate when pursuing funds through the Washington State Salmon Recovery Funding Board (SRFB) in the Upper Columbia recovery region (UC). This guide represents the consensus decision of participants in the Upper Columbia on the process to develop and submit projects for funding to the SRFB. The Rock Island, Rocky Reach, and Wells Dam Habitat Conservation Plan (HCP) Tributary Committees have agreed to use this process and timeline for funding consideration. In addition, the Bonneville Power Administration (BPA) is coordinating funding and projects within the UC via a habitat programmatic project with the Upper Columbia Salmon Recovery Board (UCSRB).

The principle guiding document for identifying appropriate projects for implementation in the region is the *Upper Columbia Spring Chinook Salmon and Steelhead Recovery Plan* (UCSRB 2007), a federally approved recovery plan for this Evolutionary Significant Unit (ESU) in Washington State.



In the UC recovery region, there are two “Lead Entities” – a term used by the state to define a county, city, conservation district, special district, tribal government, regional recovery organization, or other entity that is responsible for submitting a project list to the SRFB for funding consideration.<sup>1</sup> The three Lead Entities in the region are the:

- Chelan County Department of Natural Resources; and
- Okanogan County.

The UCSRB is the state-designated regional recovery organization<sup>2</sup> responsible for facilitating the process of compiling one project list from the Lead Entities, and to submit that list for funding consideration to the SRFB. The timeline for the regional process is included as *Attachment A*.

The regional approach to pursuing both mitigation and recovery funds from all available sources is the result of years of

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<sup>1</sup> RCW 77.85.050

<sup>2</sup> RCW 77.85.010

collaborative work on the part of all interested parties to establish an effective and efficient process. Regional project and funding coordination is an on-going process. The details are identified from the Recovery Plan's Implementation Schedule and developed within each of the Watershed Action Teams (WATs) in the region. There are currently two approaches to funding projects in the region: (1) targeted solicitation of habitat programmatic funds; and (2) traditional grant applications (a.k.a. "open solicitation").

## UPPER COLUMBIA ANNUAL FUNDING: 2-CYCLE SOLICITATION

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Annual funding for most project actions in the UC will be identified through a two-cycle approach. **Table 1-1** compares the two separate funding cycles, and **Figure 1-1**, Project Identification and Selection schematic, is an illustration of the 2-Cycle approach.

### Targeted 6-Step Funding Process (~October – May)

The first cycle is an annual targeted solicitation that will take place from roughly October through May (correlated with federal fiscal years), and is intended to target implementation of large, complex or reach-based actions to address the highest biological priorities in the UC Region. This solicitation cycle is new and is a result of the BPA programmatic funding approach in the region established between BPA and the UCSRB. A majority of the non-Accord BPA funds (~\$3.5M annually) will be allocated to this targeted funding process.

Rather than applying for these funds, implementation actions will be "targeted" by the UCSRB. Using the Multi-Year Action Plans (MYAPs) for each sub-basin, the UCSRB will identify those project areas that (a) have completed reach assessments; and (b) are high biological priorities as identified by the Regional Technical Team (RTT). The RTT regional priority reaches and actions spreadsheet can be accessed under the "Resources" tab on the UCSRB website, [www.ucsrb.com](http://www.ucsrb.com).

### Open 6-Step Funding Process (~April – December)

The second cycle is the current UC regional Open 6-Step Process. This project selection process has traditionally been a result of an annual application process to the funding entity (e.g., SRFB). As a result, the nature of these funds have facilitated smaller-scale, discrete actions that are consistent with the recovery plan and have a high biological benefit *relative to other proposals in that year*.

In a given year, the targeted solicitation funds *may* also be combined with these funds to pursue larger scale projects. The current UC regional Open 6-Step Process is the result of years of collaboration on the part of all interested parties to establish an effective and efficient process. Much of the timing and several of the steps in this process are established in statute and policy by the SRFB.

**Table 1-1.** Comparison of Targeted vs. Open 6-Step Process

### Targeted 6-Step Process

- October - May
- BPA-NPCC Funding (Majority of funds)
- Annual targeted solicitation: to fund large complex projects that are reach based to restore natural processesBiological priorities, multi-yr action plans, and funding coordination. IT provides the guidance
- RTT will have greater input in project development

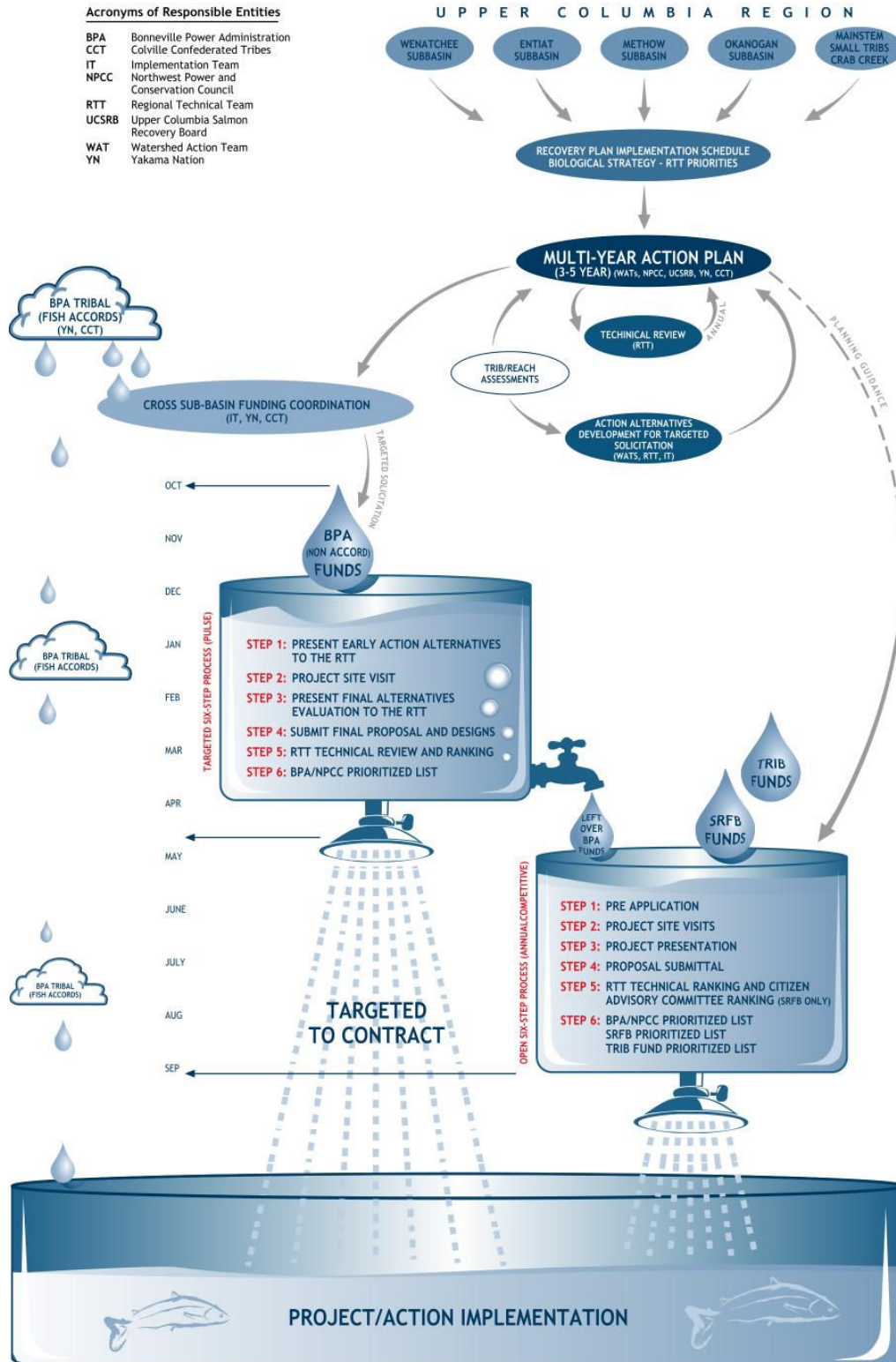


### Open 6-Step Process

- April - December
- SRFB/HCP Trib/—potential for BPA/NPCC Funding
- Current annual solicitation: to fund small to moderate size projects, targets of opportunity, funds spread among the Subbasins
- Still must pass the biological priority test via RTT review
- Often will be engineering, design, and alternative evaluation reports. Necessary to “set up” the large complex projects

**Figure 1-1.** Upper Columbia Project Planning, Identification, and Selection Process Diagram

**PROJECT/PROGRAM DEVELOPMENT AND IMPLEMENTATION  
- PROJECT IDENTIFICATION AND SELECTION -**



## TARGETED SOLICITATION 6-STEP PROCESS

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The UC region used an iterative planning process to identify limiting factors and determine habitat actions necessary to recover and maintain a Viable Salmonid Population (VSP) for ESA listed species in the Region (see *Attachment B*). WATs develop Multi-year Action Plans (MYAPs) annually for each sub-basin. The UCSRB will analyze where these plans crosswalk with the RTT biological priorities, which will allow the UCSRB to target an action for funding with the non-Accord funds. This reach-based approach is guided by and consistent with the RTT's biological priorities and the Recovery Plan's Implementation Schedule. Tributary and Reach assessments completed by partners (e.g., U.S. Bureau of Reclamation, Yakama Nation) will be used to identify site-specific implementation of actions that address habitat degradation for primary limiting factors of listed populations (See *Attachment C* for tributary/reach assessment schedule).

For those actions that have been identified as a “targeted solicitation,” project sponsors can expect to follow the six step process described below and summarized in Figure 1-1. Any funds that are unallocated during a targeted solicitation process *may* be transferred to the Open 6-step process and application phase. The UCSRB will facilitate this six-step process, and will work closely with project sponsors developing a targeted action.

### Step One: EARLY ACTION ALTERNATIVES

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As a result of this BPA non-Accord habitat programmatic project, the RTT's emerging role is to provide input during the project planning process followed by a formal review of a final proposal. The RTT will review project alternatives produced from reach assessments and select the one or two top priority alternatives that best address limiting factors, restore natural processes, and have the highest biological benefit. The project alternatives will have enough detail to include rough cost estimates and preliminary designs. Additional recommendations may be rendered regarding the risks and shortcomings of the other alternatives. If appropriate, this review may include a “pre project alternative” presentation by an inter-disciplinary (ID) team for initial feedback from the RTT before the development of the project alternatives. Additional presentations and feedback sessions during regular RTT meetings may occur before the formal assessment of the alternatives by the RTT.

### Step Two: PROJECT SITE VISITS

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Not all projects will need a site visit; this will be negotiated during Step 1. When a proposed project site visit is warranted, a site tour will be scheduled upon request by the RTT or other reviewers.

### Step Three: FINAL ALTERNATIVES PRESENTATION

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After the preferred alternative is selected and all the field assessments are complete, project proponents are required to present the project with adequate detail (e.g., designs, budget, landowner status, materials) so that technical reviewers and funding agencies have a clear idea of the projects objectives, expected outcomes, location,

scale, and techniques. The intent of this presentation is to continue to receive technical feedback from the RTT and other reviewers to further refine the project proposal before submitting final designs.

#### **Step Four: FINAL PROPOSAL AND DESIGNS**

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Project proponents will submit a detailed final proposal to the UCSRB. The format for the proposal is the standard pre-proposal form for the open 6-step process (see *Attachment E*). This proposal will then be transmitted to the RTT for technical review and scoring using the same criteria and procedures as described in the Biological Strategy, and in the open 6-step process below. The proposal should include enough detail (e.g., project area, permits, and designs) that will allow the RTT ample opportunity to adequately evaluate the proposal. Scoring of projects is important to develop a record of performance on the targeted solicitation process. Should a proposal score be inadequate to BPA, the project sponsor may be asked to go back to one of the previous steps. However, we hope to provide sufficient opportunities for up-front input and feedback to avoid this outcome.

#### **Step Five: RTT TECHNICAL REVIEW AND RANKING**

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The RTT will formally evaluate and score the project using the RTT project scoring criteria (see *Attachment D*).

#### **Step Six: BPA/NPCC PRIORITIZED PROJECTS**

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The UCSRB will submit the prioritized projects to BPA for final funding decisions.

## OPEN 6-STEP FUNDING PROCESS

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Lead Entity Coordinators (Chelan County, Okanogan County) will help facilitate the movement of proposals through the review process. This includes assuring that the RTT, Tributary Committee, and Citizens' Committees receive review copies at appropriate times. Project sponsors should begin working with the appropriate Lead Entity Coordinator early in the proposal development process to develop potential actions for SRFB or Tributary Committee funding.

The following entities are eligible for SRFB funding:

- cities
- counties
- Conservation Districts
- Native American tribes
- non-profit organizations
- private landowners
  - Private landowners are eligible applicants for restoration projects when the project takes place on their own land.
  - Private individuals may not acquire land using these funds.
- Regional Fisheries Enhancement Groups
- Special Purpose Districts
- state agencies (state agencies must have a local partner that is independently eligible to be a grant applicant)
- Federal agencies may not apply directly, but may partner with eligible applicants.
  - Projects may occur on federal lands.

Applicants should take into account federal restrictions on using federal money for a qualifying match when applying for a grant.

Anyone may apply for Tributary Committee funds.

### Step One: PRE-APPLICATION

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The first step in the process to seek funding from the SRFB and Tributary Committees is to submit a pre-application. **A pre-application is required from each project proponent wishing to pursue funds from either the SRFB or Tributary Committees.** Potential project proponents should contact their respective Lead Entity Coordinator to talk about the proposed project and confirm eligibility for funding. The Lead Entity Coordinator can also work with the project proponent to help develop the necessary forms throughout the application process.

The project proponent will need to fill out a pre-project proposal for each project being proposed. All proposals must be submitted electronically using the State's PRISM database ([http://www.rco.wa.gov/prism/about\\_prism.shtml](http://www.rco.wa.gov/prism/about_prism.shtml)). PRISM is an Internet-based computer program used to apply for and track grants, to get grant contracts, and produce reports about projects. Pre-project proposals must be submitted by May 9, 2011. The form is on-line at <http://www.ucsrb.com/>, and a sample pre-application form is included as *Attachment E*.

Although not required by PRISM, a standardized naming convention for your proposal is important for project reviewers. Proposal names should include the following elements:

- an indication of project type (implementation, design, etc.);
- project phase;
- geographic link (e.g., stream reach).

**The use of landowner names in proposals should be avoided to protect landowner privacy.**

The pre-application requirement helps proponents in a number of ways. First, it is an opportunity for the project proponent to think through the details of a potential project early in the funding process. It is also an opportunity for the project proponent to identify areas where technical assistance may be needed to ultimately develop a strong final proposal. The process also serves the region. The pre-application provides an indication of how close the region is to meeting the target allocation of funds from the SRFB and other funding sources. It is also an early opportunity to identify additional cost-share programs that most effectively leverage the resources needed to implement projects.

**For these reasons, very few exceptions will be made for considering a new proposal after the pre-application phase!** It is important that project proponents think through enough of the details of a project to submit a pre-application. The RTT and Tributary Committees have the option to recommend that a proposal not continue in the review process due to lack of sufficient information.

All final applications must also be submitted electronically using the State's PRISM database.

The State Technical Review Panel is available year-round to assist with early project review and development. Project proponents may elect to enter project data into PRISM during the pre-application phase (it is required if the project proponent is requesting assistance from a member of the State Technical Review Panel to visit the project site). The pre-application form has been tailored to match the information being requested in PRISM. Contact your Lead Entity Coordinator if you need assistance with the PRISM database. Additionally, the SRFB annually adopts a Policy Manual that describes the process for pursuing funds from the State. The SRFB Policy Manual and other associated documents for Round 12 can be found on-line at <http://www.rco.wa.gov/srfb/docs.htm>.

## **Step Two: PROJECT SITE VISIT**

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Proposed project site visits are scheduled for the week of **May 23-26**. Project proponents are strongly encouraged to attend their respective site visit to present information regarding the proposed project, answer questions, and receive additional technical feedback in the field. The RTT, Tributary Committee representatives, BPA representatives, and State Technical Review Panel members may all attend. Some project proposals may not require a site visit (e.g., an assessment project), unless the project proponent specifically requests one. Once the portfolio of potential projects is

finalized, the UCSRB will work with the Tributary Committees and Lead Entity Coordinators to develop an agenda and itinerary for the field tours. Project proponents are encouraged to share refined information and materials during the site visit. The current schedule for site visits is as follows:

- Monday, May 23 – Okanogan
- Tuesday, May 24 – Methow
- Wednesday, May 25 – Wenatchee
- Thursday, May 26 – Entiat

### **Step Three: PRE-PROPOSAL WORKSHOP**

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A pre-proposal workshop is scheduled for **June 8**. Project proponents are required to attend the workshop to briefly present additional technical details of their respective project proposal in response to input received on the project tours. Project proponents should present as much detail about the project as is available (e.g., designs, budget, materials). Time will be limited and allocated based on the number of proposals.

The intent of this workshop is to continue to receive technical feedback from the RTT and Tributary Committee members, and to further refine project proposals before the final applications are submitted.

### **Step Four: PROPOSAL REFINEMENT AND SUBMITTAL**

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As a result of the site visits and the pre-application workshop, project proponents have the opportunity to refine the final project proposals, and should be working to finalize the details of the proposed project(s). Final applications are due to Lead Entity Coordinators and to the Tributary Committees for the regional review process on **June 30**.

After final proposals are submitted, there are no additional opportunities for interaction with the RTT, State Technical Review Panel, or Tributary Committees to further refine the technical details of a project. Project proponents should always communicate with their Lead Entity Coordinators to answer questions as they arise throughout the process.

### **Step Five: TECHNICAL AND CITIZEN RANKING**

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After final project proposals have been submitted, the RTT will convene on **July 13**. The technical review criteria for rating projects are included as *Attachment D*. **The RTT ranking meeting will be closed to non-RTT members, with exceptions for technical representatives from funding entities. The RTT members can only score proposals as they were submitted to the SRFB/BPA and Tributary Committees.** Information provided after the deadline will not be taken into account during the project review. It is important that project proponents are as succinct and inclusive **in the application** as possible. There are limits to the amount of attachments that regional and state technical reviewers can consume.

The final technical ratings and notes from the RTT will be distributed to the partners in the Upper Columbia on **July 21**. At this time, project proponents who submitted a proposal for consideration for SRFB funds will have a preliminary indication of where

that proposal ranks within the region’s allocated funds from the SRFB (e.g. \$1.953M for 2010).

The individual Citizens’ Committees for each of the Lead Entities will meet in the middle of August to rank the social implications of a proposed project. All individual citizens’ committees and the Joint Citizen Advisory Committee will use the same review criteria that are included as *Attachment F*. The individual lists from each of the three Lead Entities will be combined for a joint Citizens Committee meeting (three members from each of the individual Lead Entity’s Citizens’ Committee) on **August 10**.

The process for merging the individual lists for initial discussion at the Joint Citizens’ Advisory Committee is as follows:

- The region will combine the individual lists using the project’s order of rank in the relative list (i.e., 1-1, 2-2, 3-3, 4-4, etc).
- The secondary consideration in merging the lists is the relative RTT score as the primary consideration (i.e., within the 1-1, 2-2 ranking on the separate citizens’ lists, the region will place those on the Joint Citizen Advisory Committee list in descending order based on RTT score).

**The following ground rules for decision-making guide the Joint Citizen Advisory Committee in its deliberations to develop the final ranked list for the Upper Columbia Region.**

1. A Citizen Advisory Committee member may, at any time, make a motion to move a particular project up or down on the list.
2. The Citizen Advisory Committee member making such a request must include rationale based on the citizens’ review criteria for the 9<sup>th</sup> Round.
3. The Joint Citizen Advisory Committee will then engage in discussion regarding the motion to move a project on the list.
4. After discussion, the Joint Citizen Advisory Committee will vote – approve, oppose, abstain – on the motion to move the project on the list.
5. The motion will carry upon unanimous approval by all six Joint Citizen Advisory Committee Members (excluding “abstain” votes).

The result of this meeting is the final recommended list of projects submitted to the SRFB for consideration for funding. The final ranked list is due to the SRFB on **September 15**.

**Step Six: SRFB/BPA/TRIB FUND REVIEW AND FUNDING**

The State Technical Review Panel will meet during the month of October to review all of the project applications across the state. The Panel will develop a draft State Technical Review Panel report of its findings, by region, and distribute that for review and comment to the SRFB. The State Technical Review Panel will consider comments and additional materials submitted during the comment period, and finalize its report of recommendations for funding to the SRFB in mid-November. Based on regional policy,

proposals flagged as “Projects of Concern” still by the State Technical Review Panel will not be forwarded on the final ranked list.

The SRFB will meet on **December 8-9** to make its final funding decisions for 2011. *For projects that are not under contract within the requisite 180-day window, the SRFB will allow regions to allocate those funds to the next available project on that region’s list.*

The Tributary Committees will also make internal decisions for funding in November, after release of the draft State Technical Review Panel report in October. Once the SRFB has made its final decisions for funding, the Tributary Committees will meet in December to finalize its decisions for funding projects.

# ATTACHMENT A

## 2011 UPPER COLUMBIA PROCESS SCHEDULE

### SRFB/TRIB/BPA

Project Proposal Development, Submittal, and Review

DATE	ACTIVITY/MILESTONE (MEETING/DEADLINE)
<b>FEBRUARY</b>	
11 February	SRFB/TRIB Debrief of 2010
<b>MARCH</b>	
1 March	IT Funding Coordination Meeting
March (TBA)	SRFB/Tributary Fund cycles announced; SRFB Policy Manual available; Regional Process Guide Revisions
<b>APRIL</b>	
April 6	SRFB/TRIB/BPA Kickoff Meeting for the Region; RCO presentation; RTT Technical criteria presentation; CAC criteria presentation
April	Project Sponsors develop projects and pre-proposal (materials available from <a href="http://www.ucsrb.com">http://www.ucsrb.com</a> )
<b>MAY</b>	
<b>9 May</b>	<b>Pre-proposals due (ftp location TBD) – delivered to RTT, TRIB (via TRIB ftp site) and SRFB Panel Members (via PRISM)</b>
16 May	Conference Call to discuss project tour logistics (RTT, LEs, Trib and UCSRB)
23-26 May	SRFB/TRIB/BPA project tours <ul style="list-style-type: none"> <li>• 23<sup>rd</sup> – Okanogan</li> <li>• 24<sup>th</sup> – Methow</li> <li>• 25<sup>th</sup> – Wenatchee</li> <li>• 26<sup>th</sup> – Entiat</li> </ul>
<b>JUNE</b>	
8 June	Pre-proposal Presentation Workshop: review pre-proposals with RTT, TRIB and CAC's
9 June	TRIB internal review of pre-proposals
June	Proposal refinement based on technical feedback. Two weeks after visiting projects, the State Technical Review Panel will post comments in SharePoint for lead entities and grant applicants. Grant applicants should update their applications to address any Review Panel concerns and attach their responses to Review Panel comments in PRISM with their application. The Review Panel will “flag” projects that it believes would benefit from additional review at the regional area project meeting.
<b>30 June</b>	<b>Final project proposals due to LE Coordinators – delivered to RTT, TRIB (via TRIB ftp site) and RCO (via PRISM)</b>
<b>JULY</b>	

July	SRP discusses “flagged” projects and update the comment form. Panel will meet either in person or conference call to provide full panel feedback on “flagged” projects.
13 July	RTT Meeting: formal project reviews and technical ranking
14 July	TRIB final review of proposals
21 July	Final comments from TRIB will be via e-mail to LE for distribution to project sponsors
<b>AUGUST</b>	
1-5 August	Okanogan and Chelan CAC project rankings
12 August	LE submits final project applications and deliverables to RCO/SRFB in PRISM (early optional date)
22-25 August (TBD)	Regional joint CAC approves final combined ranked list
26 August	LE submits final project applications and deliverables to RCO/SRFB in PRISM (final due date)
<b>SEPTEMBER</b>	
September	TRIB supplemental tours of selected projects (project sponsors will be notified in advance of visit)
15 September	Regional organizations submit their recommendations for funding and responses to the information questionnaire
26-29 September	Regional presentations to State Technical Review Panel
<b>OCTOBER</b>	
October	Project Presentations to TRIB ( <i>if needed</i> )
6 October	Comment forms available from State Technical Review Panel
26 October	Comments due on State Technical Review Panel draft comment forms
<b>NOVEMBER</b>	
November (TBA)	TRIB makes initial internal decisions
18 November	Final 2011 funding report delivered to SRFB
<b>DECEMBER</b>	
8-9 December	SRFB makes funding decisions
December (TBA)	TRIB makes supplemental decisions

Acronyms

CAC Citizen’s Advisory Committee  
BPA Bonneville Power Administration  
IT Implementation Team  
LE Lead Entity  
RCO Recreation and Conservation Office  
SRB State Review Panel  
SRFB Salmon Recovery Funding Board  
TRIB HCP Tributary Committee

# ATTACHMENT B

## Process for the Identification of Habitat Actions in the Upper Columbia

A five-step planning process is used to identify limiting factors and determine habitat actions necessary to recover and maintain a Viable Salmonid Population (VSP) for spring Chinook and Steelhead in the Upper Columbia Region.

1. **SPECIES STATUS & DETERMINING LIMITING FACTORS** – Priority species were based on ESA listings and their population status (abundance, productivity, spatial structure, and diversity). Past and present threats were determined using empirical information when available, or in cases where empirical information was lacking, preliminary analysis, local knowledge or professional judgment and modeling were used to identify threats (UCSRP 2007). Additionally, ecosystems diagnosis and treatment (EDT) was applied in all 4 sub-basins in the development of the Sub-basin Plans.
2. **THE UC REGION SALMON RECOVERY PLAN (UCSRB 2007)** – Categories of recovery actions were then recommended that addressed primary limiting factors within each sector (Harvest, Hatcheries, Hydro, and Habitat) and includes a detailed Implementation Schedule, a living document, that identifies specific habitat actions, costs, and schedules for implementation (Link to <http://www.ucsrb.com/theplan.asp> -for Implementation Schedules for the Upper Columbia Region sub-basins.
3. **THE BIOLOGICAL STRATEGY (UCRTT 2008)** – This work compliments the Recovery Plan by providing further support, guidance and technical foundation for setting geographic priorities for habitat protection and restoration actions. Using the Biological Strategy, the UCRTT developed a system for prioritizing and sequencing actions and strategies based on their biological benefit to multiple listed species. See Appendix C “UCRTT Priorities for reaches and Actions for Implementing Habitat Actions” (UCRTT 2009) for the recent prioritization of habitat actions found in the Recovery Plan’s Implementation Schedule.
4. **MULTI-YEAR ACTION PLANS, ASSESSMENTS AND THE ADAPTIVE MANAGEMENT APPROACH**  
By utilizing the resources described in the previous Steps, IT and UCRTT and WATs in the 4 sub-basin’s have developed multi-year action plans (3-5 Years) focused on the highest biological priorities in their sub-basin at a reach scale. These multi-year plans will be updated annually by an adaptive management approach to refine the identification of limiting factors based on new information produced from the tributary and reach assessments. The final component to the planning process is research, monitoring, and evaluation to test the critical uncertainties associated with recovery objectives, strategies, and actions. Monitoring results will be evaluated and adjustments made to the multi-year plans/implementation schedule and recovery plan, as needed.

Annually the **WATs develop multi-year action plans** for the Upper Columbia Region sub-basins. These plans focus on the highest biological priorities in each sub-basin at a reach scale. This reach-based approach will be consistent with the UCRTT’s biological priorities and the Recovery Plan’s Implementation Schedule. Tributary and Reach assessments completed by the U.S. Bureau of Reclamation, Yakama Nation or others will also be used to identify site-specific actions for implementation, because this information helps prioritize stream restoration and identify specific habitat actions (See Assessment Table below). These assessments contain the hydraulic and geomorphic analysis, which will be used to identify limiting factors for fish habitat. Some of these detailed reach assessments were not available during the development of the most current Implementation Schedule project lists; thus, these tributary and reach assessments provide more detail on the projects that address limiting factors and improve the Upper Columbia Region’s ability to prioritize projects.

## ATTACHMENT C

### Upper Columbia Region Reach and Tributary Assessment Status & Schedule (March 2011)

	LOCATION	ASSESSMENT TYPE	ENTITY
<b>Wenatchee Subbasin</b>			
<b>Completed</b>	Lower Wenatchee (RM 0-4)	Channel Migration Zone Study	Jones and Stokes
	Nason Creek (RM 0-4)	Channel Migration Zone Study	Jones and Stokes
		Habitat Assessment	Reclamation
	Nason Creek (RM 4-14)	Tributary Assessment	Reclamation
	Nason - Upper White Pine RM (12-14.5)	Reach Assessment	Reclamation
	Nason - Lower White Pine RM (9.45-11.55)	Reach Assessment	Reclamation
	Nason - Kahler (RM 4.65-8.9)	Reach Assessment	Reclamation
	Peshastin RM (0-7)	Reach Assessment	Yakama Nation
<b>In Progress</b>	Upper Wenatchee (Lake Wenatchee-Tumwater Canyon)	Reach Assessment	Yakama Nation
<b>Future Priorities</b>	Icicle (boulder field- Upper Icicle)	Reach Assessment	Reclamation 2011/2012
<b>Entiat Subbasin</b>			
<b>Completed</b>	Entiat RM (0-26)	Tributary Assessment	Reclamation
	Preston RM (22.7-23.3)	Reach Assessment	Reclamation
	Stormy RM (17.9-18.1)	Reach Assessment	Reclamation
	Entiat 3D RM (24-25)	Reach Assessment	Yakama Nation
<b>In Progress</b>	Entiat 1B, 1C, 1E (RM 0.8-4.3, RM 6.3-6.9)	Reach Assessment	Reclamation (completed by 2014)
<b>Future Priorities</b>	Entiat 2A, 3C, 3F (RM 16.1-17.9, RM 23.3-24, RM 25.6-26)	Reach Assessment	Yakama Nation (completed by 2017)
	Entiat 1D, 1F (RM 4.3-6.3, RM 6.9-10.6)	Reach Assessment	TBD (completed by 2020)
<b>Methow Subbasin</b>			
<b>Completed</b>	Methow Subbasin (RM 0-80)	Tributary Assessment	Reclamation
	Big Valley (RM 54.2-60)	Reach Assessment	Reclamation
	Methow mainstem to Winthrop (RM 40-51.5)	Reach Assessment	Reclamation
	Chewuch (RM 0-20)	Reach Assessment	Yakama Nation
	Lower Twisp (RM 0-15)	Reach Assessment	Yakama Nation
<b>In Progress</b>	Methow mainstem, Winthrop to Wolf Creek (51.5-54.2)	Reach Assessment	Reclamation
<b>Future Priorities</b>	Methow mainstem, Weeman to Mazama (RM 61-67)	Reach Assessment	TBD
	Methow Silver (RM 29-40, RM 52-55)	Reach Assessment	Reclamation

# ATTACHMENT D

## Regional Technical Team Project Rating Criteria.

The RTT has developed a set of project rating criteria that has two major components, biological benefit and certainty of success. The biological benefit component of rating a project has 4-5 criteria, depending on the type of project being assessed (restoration, protection, assessment, or design). These criteria focus on limiting factors and benefits to Viable Salmonid Population (VSP) criteria for listed species (spring Chinook, steelhead, and bull trout). The certainty of success criteria were developed to rate the adequacy of the proposal and the likelihood that the project, as proposed, will achieve its objectives. This is an important set of criteria that is designed to address several technical aspects involved in project development and implementation, with the intention of identifying weaknesses that might lead to project failure or unintended results.

A separate scoring system was developed for each project type (restoration, protection, assessment, and project design) with 100 points allotted to the biological benefit criteria and 66 points to the certainty of success criteria.

## Restoration Projects

### Biological Benefit

*Abundance and productivity.*—The highest proportion of points were allotted to the abundance and productivity criteria because all populations in the Upper Columbia need large improvements in these viability criteria (UCSRB 2007; ICTRT 2007) (Table D1). The point distribution may be reconsidered as population status changes, and considering population-specific impairments. Factors considered for determining high, moderate, or low benefit for this criterion include the scale of the project, the biological significance of the project area, and the number and significance of life stages affected (Table D2). For this criterion, it is particularly important for project sponsors to clearly describe the quantity of habitat affected by the project. Depending on the project type, examples of this would be:

- acres/hectares of riparian habitat restored or protected
- linear distance (ft or m) of channel restored or protected
- linear distance (ft or m) of bank stabilized
- area (m<sup>2</sup> or ft<sup>2</sup>) of stream channel affected
- number of pools and area (m<sup>2</sup> or ft<sup>2</sup>) of pool habitat created
- quantity that flow is increased (cfs or m<sup>3</sup>/s)
- quantity of flow screened (cfs screened compared to cfs in the stream)
- linear distance (ft or m) and area of habitat above a barrier

Table D1. Project rating criteria and scoring system developed by the Upper Columbia Regional Technical Team for rating habitat restoration projects.

<b>Project Name:</b>	<b>Comment summary:</b>	
<b>Project ID#</b>		
<b>Project Type: Restoration</b>		
<b>Biological Benefit</b>	<b>Score</b>	<b>Notes</b>
Benefit to VSP abundance and/or productivity	35	See decision support matrix (Table D2.a) for guidance on scoring.
Benefit to VSP spatial structure and/or diversity	15	See decision support matrix (Table D2.b) for guidance on scoring.
Does the project address one or more limiting factors identified in the Recovery Plan or Biological Strategy?	10	See decision support matrix (Table D2.c) for guidance on scoring.
Is this a priority watershed (or major spawning area) for the populations?	10	See decision support matrix (Table D2.d)
Is this project dependent on other limiting factors being addressed first (sequencing)?	20	See decision support matrix (Table D2.e) for guidance on scoring.
Will the project benefit multiple listed species?	10	See decision support matrix (Table D2.f) for guidance on scoring.
<b>Subtotal for biological benefit =</b>	<b>100</b>	
<b>Certainty of Success</b>		
<b>Certainty of Success</b>	<b>Score</b>	<b>Notes</b>
Is the project design adequate to achieve the stated objectives?	30	See decision support matrix (Table D4.a) for guidance on scoring.
Permitting	4	See decision support matrix (Table D4.b) for guidance on scoring.
Restoration costs	32	See decision support matrix (Table D4.c) for guidance on scoring.
<b>Subtotal for Certainty of Success =</b>	<b>66</b>	
<b>Total Score = 166</b>		
Was implementation monitoring included in the project?	Y / N	If yes, the RTT will describe the adequacy. See the Project Monitoring section of Appendix D
Was Level 1 effectiveness monitoring included in the project?	Y / N	If yes, the RTT will describe the adequacy. See Table D5.
Will the project be included as part of a larger scale Level 2 or 3 effectiveness monitoring program?	Y / N	The project sponsor does not necessarily need to know this. The RTT will determine this or determine if the project would be a good candidate for the higher level of monitoring.

Table D2. Decision support matrices for evaluating the potential biological benefit of a restoration project developed by the Upper Columbia Regional Technical Team.

	Criteria	Benefit	Score
a.	Abundance and Productivity	High	25-35
		Moderate	15-24
		Low	0-14
b.	Spatial Structure and Diversity	Very High	13-15
		High	9-12
		Moderate	5-8
		Low	0-4
c.	Number of Primary Limiting Factors Addressed	3+	10
		2	7
		1	5
d.	Priority Watershed	Category 1	10
		Category 2	8
		Category 3	4
		Category 4-5	2
e.	Sequencing	# of Preceding Limiting Factors 0	20
		1	5-15
		2+	0-4
f.	Benefits for Multiple Listed Species	How Many Species? 1	1
		2	5
		3	10

Table D3. Details for determining the level of biological benefit to spatial structure and diversity from a habitat restoration action. Major (MaSA) and minor (MiSA) spawning areas were defined in the Salmon Recovery Plan (UCSRB 2007) based on recommendations by the Interior Columbia Technical Recovery Team (ICTRT 2007).

Benefit	Description
Very high	Adding or protecting (in its entirety) a Major Spawning Area
High	Adding or protecting (in its entirety) a Minor Spawning Area
Moderate	Adding, enhancing, or protecting branches or re-capturing previously unoccupied area (m <sup>2</sup> ) to existing MaSA or MiSA that are "not well occupied". This is an effort to broaden the distribution and strengthen the abundance in spawning areas that have not been acting as strongholds.
Low	Adding, enhancing, or protecting branches or area (m <sup>2</sup> ) to existing MaSA or MiSA that are already strongholds.

*Spatial structure and diversity.*—Spatial structure and diversity were allotted fewer potential points (15) because the status assessments indicated that spatial structure and habitat-related diversity metrics were generally not limiting Upper Columbia populations from achieving low to moderate viability risk ratings (UCSRB 2007; ICTRT 2007). Factors considered for determining very high, high, moderate, or low benefit are focused on the Major and Minor Spawning Area concept developed by the ICTRT (2007) and are described in Table D3.

*Number of limiting factors addressed.*—This criterion was designed to assess whether a project is focused on one or more primary limiting factors identified in the Recovery Plan. Up to 10 points may be allotted for a project that addresses three or more primary limiting factors (Table D2). Considerations for this criterion are also embedded within the abundance and productivity and spatial structure and diversity criteria; however, the RTT thought it was important to isolate this criterion to help focus the efforts of project sponsors and ensure that projects are relating directly back to limiting factors identified in previous planning documents.

*Priority watershed.*—This criterion provides points for projects based on its location and the associated watershed category (as defined in the RTT Biological Strategy, see Appendix A of this document). Up to 10 points may be allotted for this criterion (Table D2). If a project area falls outside the boundaries of where the RTT has designated watershed categories then the RTT will determine the category based on the definitions provided in the Biological Strategy. Considerations for this criterion are also embedded within the abundance and productivity and spatial structure and diversity criteria; however, the RTT thought it was important to isolate this criterion to help focus the efforts of project sponsors.

*Sequencing.*—This criterion was developed to ensure that there are not other limiting factors that should be addressed before those proposed by the project at hand. Full credit is given to a project that has zero limiting factors that should be addressed prior to implementation of the project at hand (Table D2). This criterion is focused on the biological and ecological order of

operations for limiting factors in a particular subwatershed. The RTT recognizes that there could be social, economic, or feasibility considerations for implementing projects in a different order. However, those considerations are outside the purview of the RTT.

*Benefits to Multiple Listed Species.*—This criterion assesses benefits to up to three listed species (spring Chinook, steelhead, bull trout), providing up to 10 points for a project that will have direct benefits for all three (Table D2.f). The range of points available within each number of species allows for reviewers to provide more or less points depending on the extent to which multiple life stages will benefit. For example, a project might benefit spawning and rearing for one species but only a small amount of rearing for a second species. In that case, reviewers might want to award fewer points than a project that would provide benefits to all life stages of both species.

### **Certainty of Success (restoration projects)**

The certainty of success criteria were developed to rate the adequacy of the proposal and the likelihood that the project, as proposed, will achieve its objectives. For restoration projects, the criteria include a set of questions regarding the project design, permitting, and budget.

*Project design.*— Several questions were developed to cover the major areas of importance for this category (Table D4.a).

*Permitting.*—A small proportion of points were allotted to the permitting question because of the uncertainty in evaluating the likelihood of receiving a permit. This criterion is intended to highlight potential permitting hurdles or project efficiencies for projects that already have permits in hand. Given the major role that permitting plays in implementing projects, the RTT thought it was important to include some assessment of the permit status or “permitability” of a particular project (Table D4.b).

*Restoration costs.*—Thirty-two points were allotted to the criterion for restoration costs and the sub-questions in Table D.c are intended to address two main questions:

- 1) Are the costs appropriate for the project that is being proposed?

We developed two questions for this criterion that allow us to focus on technical aspects of the budget. The questions allow the RTT to point out discrepancies between the project objectives and the budget. For example, a lower score for restoration cost sub-question 1 in Table D4.c would be likely if a culvert replacement project did not have a culvert identified in the budget. Likewise, a lower score for sub-question two would be likely if a riparian restoration project was supposed to plant 1,000 trees but only included salary line items for a project manager and an engineer.

2) Are the potential ecological benefits appropriately scaled with the costs?

This question takes into account the contribution to ecological benefits and the cost simultaneously. For example, two different culvert projects might provide access to two streams with similar quantity and quality habitat so the biological benefits are similar. Additionally, the project costs for each one might be appropriate for what is needed at each site (i.e. fill, pipe size, road management, etc.) but the final costs could be vastly different. The simpler, low cost project might score well on this criterion whereas the very expensive project would score lower.

Reviewers will consider how the absolute cost relates to their assessment of biological benefits, how this project compares to other projects of similar types (relative cost within the grant cycle) and/or how the costs compares to similar types outside this grant round.

Table D4. Certainty of success criteria developed by the Upper Columbia Regional Technical Team for rating habitat restoration projects.

Criteria	Sub-question	Score
a. Project Design	Does the proposal provide adequate information?	0-8
	Is it a proven technique, or if innovative, does it appear it will work?	0-7
	Is the project properly sited and scaled?	0-7
	What is the likelihood that the projects structural integrity will be maintained over the appropriate timeframe?	0-8
Project Design Subtotal =		30
b. Permitting	Is it already permitted?	4
	Are permits in process?	3
	Does it appear that permits could be obtained?	2
	It does not appear that permits could be obtained.	0
Permitting Subtotal =		4
c. Restoration Costs	Are all necessary materials included in the budget?	0-8
	Are all items in the budget relevant to biological benefits?	0-12
	<sup>1</sup> Are the ecological benefits appropriately scaled with the costs?	0-12
Restoration Costs Subtotal =		32
Total for Restoration Certainty of Success =		66

## Project Monitoring

Implementation and Level 1 effectiveness monitoring are important components of the RTT certainty of success category; however, certain funding sources have decided not to fund project monitoring. Therefore, the implementation and effectiveness monitoring questions are not included in the certainty of success category and will be assessed separately, if a project sponsor has a monitoring plan that can be implemented from a different funding source.

*Implementation monitoring.*—Implementation monitoring simply provides proof that the action was carried out as planned. An adequate implementation-monitoring plan should include photo points with position descriptions. Position descriptions should include both a physical description (i.e. 200 ft SW of County Rd 4, next to the old barn) as well as GPS coordinates (in case the old barn burns down). These photo points and position descriptions are important in case someone wants to go back and evaluate the effectiveness or longevity of the project.

Additional written documentation should accompany the photo points and outline how well and when the objectives were met. This is as simple as including the date of project completion and the quantity of each objective that was completed. See Hillman (2005) for examples of objectives for each project type.

*Level 1 effectiveness monitoring.*—Level 1 effectiveness monitoring is needed to demonstrate that the restoration action has at least affected the environmental parameters that were the target of restoration (Hillman 2005). Level 1 effectiveness monitoring primarily relies on photographs, counts, and presence/absence surveys (Hillman 2005) conducted at set intervals (seasonally, annually, bi-annually). Level 1 effectiveness monitoring seeks to answer questions such as:

- 1) What was the survival of trees planted in a riparian project?
- 2) Is the restoration structure (i.e. fence, rock weir, culvert, etc.) still in place?
- 3) Is the restoration target (i.e. pools, wood, spawning gravel, sidechannel connection, etc.) still there after multiple high water events?
- 4) Are the terms of the easement being upheld through time?
- 5) Will target fish species / lifestage be present in the sidechannel?
- 6) Additional examples are provided in Hillman (2005).

To determine the adequacy of a project's level 1 effectiveness monitoring plan, the RTT will consider seven sequential steps (Table D5).

*Level 2 and Level 3 effectiveness monitoring.*—Level 2 and Level 3 effectiveness monitoring are more intensive and seek to determine effects and statistically significant changes to environmental and biological parameters at larger spatial scales (Hillman 2005). The RTT believes that Level 2 and 3 effectiveness monitoring are extremely important and should be carried out on select projects and sub-watersheds in each of the Upper Columbia Subbasins. The RTT does not believe that every project sponsor who wants to implement a restoration or protection project should or could successfully implement level 2 and 3 effectiveness monitoring. Level 2 and Level 3 effectiveness monitoring are generally beyond the scope and purview of most project sponsors. These levels of effectiveness monitoring require a much

higher degree of monitoring expertise, in depth planning, experimental design, statistical design, data management, data analysis, and reporting. If a project sponsor wants to implement level 2 or 3 effectiveness monitoring then they should probably apply for it as a separate project in the assessment category.

Table D5. Steps for setting up a monitoring plan adapted from Roni (2005) that are appropriate for Level 1 effectiveness monitoring as defined by Hillman (2005).

- 
1. Define goals and objectives
  2. Define key questions and/or hypotheses
  3. Select appropriate monitoring design
  4. Select monitoring parameters
  5. Identify number of sites and years to monitor
  6. Determine sampling scheme
  7. Appropriate reporting
- 

## Protection Projects

### Biological Benefit

*Abundance and productivity.*—The same point allotment and decision support matrix was used for protection projects as restoration projects for abundance and productivity (Table D2.a). However, the RTT has adopted the over-arching strategy that protecting functional habitat is the highest priority (NRC 1996; Roni et al. 2002); therefore, protection projects are more likely to score in the “high” category for this criterion.

*Spatial structure and diversity.*—The same point allotment and decision support matrix was used for protection projects as restoration projects for spatial structure and diversity (Table D2.b).

*Priority watershed.*—A relatively large proportion of points was allotted to the priority watershed criteria for a protection project to ensure that protection efforts were focused in areas where the greatest benefits would accrue (i.e. category 1 and 2 watersheds) (Table D6).

*Connectivity to other protected areas.*— This criterion was designed to give protection projects credit when they are adjacent to or associated with other protected areas. This will promote creating habitat strong holds with the assumption that large blocks of continuous functional habitat will be more effective and provide more biological benefit than a patchwork approach. Additionally, points can be awarded if there is a demonstrated link between the protection property and some needed restoration projects, such as floodplain connectivity or riparian restoration.

Table D6. Project rating criteria and scoring system developed by the Upper Columbia Regional Technical Team for rating habitat protection projects.

<b>Project Name:</b>	<b>Comment summary:</b>	
<b>Project ID#</b>		
<b>Project Type: Protection</b>		
<b>Biological Benefit</b>	<b>Score</b>	<b>Notes</b>
Does the acquisition or easement protect or enhance a benefit to VSP abundance and/or productivity	35	See decision support matrix (Table D2.a) for guidance on scoring.
Does the acquisition or easement protect or enhance a benefit to VSP spatial structure and/or diversity	15	See decision support matrix (Table D2.b) for guidance on scoring.
Is this a priority watershed for the populations?	35	Category 1=35 points; C2=25 points C3=15; C4=10 points; C5=5 points.
Is this acquisition/easement associated with other protected areas (habitat strong holds) or (if needed) restoration projects?	15	0= no ; 1-14= partial; 15 = yes
<b>Subtotal for biological benefit =</b>	<b>100</b>	
<b>Certainty of Success</b>	<b>Score</b>	<b>Notes</b>
Is there a sign letter of commitment from the current land owner?	10	yes = 10; no = 0 or (1-9 pts possible depending on level of landowner interactions described in the proposal.
Has an appraisal been completed?	10	yes = 10; no = 0 ; (or 1-9 pts possible if land-cost comparisons were provided in the proposal.
Do management actions associated with this acquisition/easement promote fish habitat conservation?	14	Proposal needs to describe the parameters of the easement; I.e. what can and cannot be done on the land?
Protection Costs	16	See decision support matrix (Table D4.c) for guidance on scoring.
<b>Subtotal for Certainty of Success =</b>	<b>66</b>	
<b>Total Score =</b>	<b>166</b>	
Was implementation monitoring included in the project?	Y / N	If yes, the RTT will describe the adequacy. See the Project Monitoring section of Appendix D
Was Level 1 effectiveness monitoring included in the project ?	Y / N	If yes, the RTT will describe the adequacy. See Table D5.
Will the project be included as part of a larger scale Level 2 or 3 effectiveness monitoring program?	Y / N	The project sponsor does not necessarily need to know this. The RTT will determine this or determine if the project would be a good candidate for the higher level of monitoring.

## **Certainty of Success (protection projects)**

There are four criteria for certainty of success for protection projects (Table D6).

These criteria cover commitments from the landowners, completed appraisals, the terms and conditions of the protection effort, and protection costs. For the terms and conditions of the protection action, it is particularly important for project sponsors to describe the types and extent of activities (# of homesites before and after, logging, grazing, road building restrictions, etc.) that can or cannot occur on the land and in the stream after the protection action is in place. There should be some site-specific nuances that are articulated in the proposal along with a list of general terms or examples from previous easements.

For protection project costs, we use the same questions and point system as was described for restoration projects (Table D4.c), with the following adjustments / considerations.

- 1) Are all necessary transaction costs included in the budget? This includes appraisals, outreach, legal review, etc.)
- 2) Are all items in the budget relevant to biological benefits? For example, the inclusion of upland areas that do not pose a threat to the riparian area or anthropogenic structures that increase the price of the acquisition / easement without adding protection benefits for the riparian area.

## **Assessment Projects**

### **Biological Benefit**

*Abundance and productivity.*— Thirty five points were available for assessment projects that would lead to a better understanding of limiting factors to abundance and/or productivity or contribute to a status evaluation for abundance and/or productivity (Tables D7 and D8a).

*Spatial structure and diversity.*— Thirty five points were available for assessment projects that would lead to a better understanding of limiting factors to spatial structure and Diversity or contribute to a status evaluation for spatial structure and diversity (Tables D7 and D8b).

*Scale of applicability.*—This criterion was designed to evaluate how broadly or narrowly the assessment results might be applied. More points will be given to projects that provide valuable information across multiple spatial scales (Tables D7 and D8c)

*Use of information.*—This criterion was used to evaluate several aspects related to the usefulness of the information collected during the assessment. There were two main subcategories that were considered for this criterion:

- 1) Create information
  - a) Is the question answerable?  
-i.e. Does the technology exist to answer the question?
  - b) Are there foreseeable management actions that could be done to use the information?

c) Will filling the data gap improve a fundamental scientific understanding?

2) Formulate policy

a) Has the information specifically been requested by management and/or policy makers?

### **Certainty of Success (Assessment Projects)**

*Assessment design.*— Proposals need to address the 7 steps for setting up a monitoring plan as outlined in Table D5. Additionally, standard protocols or methods should be used to ensure data quality, repeatability, and statistical comparisons. Or, if new and innovative protocols/methods are implemented sufficient explanation and justification needs to be outlined in the proposal so that the RTT can objectively evaluate the likelihood that it will be successful.

*Permitting.*—See permitting discussion and point allotments described in the restoration project section and in Table D4.b.

*Assessment costs.*—For assessment project costs, we use the same questions and point system as was described for restoration projects (Table D4.c).

*Data management and reporting.*—This criteria was designed to highlight the importance of data management and reporting that is particularly relevant to assessment projects. Project sponsors need to be particularly cognizant of multiple levels of data management and dissemination including local, regional, and perhaps statewide or Columbia Basin wide.

Table D7. Project rating criteria and scoring system developed by the Upper Columbia Regional Technical Team for rating assessment projects.

<b>Project Name:</b>	<b>Comment summary:</b>	
<b>Project ID#</b>		
<b>Project Type: Assessment</b>		
<b>Biological Benefit</b>	<b>Score</b>	<b>Notes</b>
Benefit to VSP Abundance and/or Productivity	35	See Table D8a. for guidance on scoring.
Benefit to VSP Spatial Structure and/or Diversity	35	See Table D8b. for guidance on scoring.
Scale of Applicability	10	See Table D8c. for guidance on scoring.
Use of Information	20	See Table D8d. for guidance on scoring.
<b>Subtotal for biological benefit =</b>	<b>100</b>	
<b>Certainty of Success</b>	<b>Score</b>	<b>Notes</b>
Is the assessment design adequate to achieve the stated objectives?	26	See Table D9 for guidance on scoring.
Permitting	4	See Table D9 for guidance on scoring.
Does the cost estimate reflect all expected tasks?	16	See Table D9 for guidance on scoring.
Is there an avenue described to disseminate information to interested parties once the assessment is completed?	4	See Table D9 for guidance on scoring.
<b>Subtotal for Certainty of Success =</b>	<b>66</b>	
<b>Grand Total</b>	<b>166</b>	

Table D8. Project proposal evaluation criteria developed by the Upper Columbia Regional Technical Team for rating assessment projects for biological benefit.

<b>Criteria</b>	<b>Description</b>	<b>Benefit</b>	<b>Score</b>	
a	Benefit to VSP, Abundance and/or Productivity	Does the assessment contribute to knowledge of abundance and/or productivity? Or could the assessment directly result in action that will increase abundance and/or productivity?	High	25 to 35
			Moderate	15 to 24
			Low	1 to 14
			None	0
b	Benefit to VSP, Spatial Structure and/or Diversity	Does the assessment contribute to knowledge of spatial structure and/or diversity? Or could the assessment directly result in action that will increase spatial structure and/or diversity?	High	25 to 35
			Moderate	15 to 24
			Low	1 to 14
			None	0
c	Scale of Applicability	Local, Population, ESU	Local	2
			Sub-basin (population)	5
			Regional (ESU)	10
d	Use of Information	Is the question answerable (i.e. does the technology exist)? Are there foreseeable management actions that may use the information? Will filling the data gap improve a fundamental scientific understanding? Has the information specifically been requested by management and/or policy makers?	High	14 to 20
			Moderate	6 to 13
			Low	0 to 5

Table D9. Certainty of success criteria developed by the Upper Columbia Regional Technical Team for rating assessment proposals.

<b>Criteria</b>	<b>Sub-question</b>	<b>Score</b>
a. Assessment Design	Does the proposal provide adequate information? (objectives, methods, etc)	0-7
	Is the study design and analysis sufficient to meet the stated objectives?	0-7
	Is the assessment properly sited and scaled?	0-6
	Is it a proven technique, or if innovative does it appear it will work?	0-6
<b>Assessment Design Subtotal</b>		<b>26</b>
b. Permitting	Is it already permitted?	4
	Are permits in process?	3
	Does it appear that permits could be obtained?	2
	It does not appear that permits could be obtained	0
<b>Assessment Permitting Subtotal</b>		<b>4</b>
c. Costs	Are all necessary materials included in the budget?	0-8
	Are all items in the budget relevant to biological benefits?	0-12
	Are the ecological benefits appropriately scaled with the costs?	0-12
<b>Assessment Costs Subtotal</b>		<b>32</b>
d. Dissemination of Information	Is there an avenue identified to disseminate information to pertinent parties? (i.e. agency report, peer reviewed journal, etc plus data management procedures described including QAQC and public access).	4
	Partial credit based on adequacy of proposal to describe how the information will be summarized, shared, and made available.	1-3
	No means of disseminating information is described.	0
	<b>Dissemination of Information Subtotal</b>	<b>4</b>
Total for Assessment Certainty of Success =		<b>66</b>

## Project Design Proposals

These projects are generally the first part of a phased approach that first seeks to determine the right restoration prescription for a specific site and develop the engineering design plans for the chosen alternative.

### Biological Benefit

*Abundance and productivity.*— The same point allotment and decision support matrix was used for project design projects as restoration projects for the abundance and productivity criteria (Tables D10 and D2.a). The RTT will evaluate the potential benefits to abundance and productivity for the likely project that will result from the design. In some cases, the exact project alternative will not be known and the RTT will have to make and document their assumptions in the project review narrative.

*Spatial structure and diversity.*—The same point allotment and decision support matrix was used for project design projects as restoration projects for the spatial structure and diversity criteria (Tables D10 and D2.b). The RTT will evaluate the potential benefits to spatial structure and diversity for the likely project that will result from the design. In some cases, the exact project alternative will not be known and the RTT will have to make and document their assumptions in the project review narrative.

*Number of limiting factors addressed.*—The same point allotment and rational will be used for this criterion as was described for restoration project proposals. The RTT will evaluate the potential number and importance of limiting factors addressed for the likely project that will result from the design. In some cases, the exact project alternative will not be known and the RTT will have to make and document their assumptions in the project review narrative.

*Priority watershed.*— The same point allotment and rational will be used for this criterion as was described for restoration project proposals.

*Sequencing.*— The same point allotment and rational will be used for this criterion as was described for restoration project proposals. In most cases, project designs should follow an assessment and be consistent with a restoration strategy that aims to restore natural processes within a reach context.

*Future Check-ins.*—Are there milestones for future check-ins with the RTT as the design progresses. This criterion was developed to provide additional points for project sponsors that intend to solicit feedback as the design develops. We believe this will increase the probability that the chosen alternative achieves the intended biological benefit and that Phase 2 (project implementation) will be more successful.

## Certainty of Success (Project Design Proposals)

*Is the design/feasibility proposal adequate to achieve the stated objectives?* — A set of sub-questions was developed to cover the major areas of importance for this category (Table D11).

*Will the design/feasibility study produce a product that will be implemented in the next phase.*—

*Project costs.*— Thirty-two points were allotted to the criterion for project design costs and the sub-questions are consistent with those outlined in Table D4.c.

Table D10. Project rating criteria and scoring system developed by the Upper Columbia Regional Technical Team for rating project design or feasibility proposals.

<b>Project Name:</b>	<b>Comment summary:</b>	
<b>Project ID#</b>		
<b>Project Type: Project Design</b>		
<b>Biological Benefit</b>	<b>Score</b>	<b>Notes</b>
Does this design-assessment lead to a project that will benefit abundance and/or productivity.	35	See decision support matrix (Table D2.a) for guidance on scoring.
Does this design-assessment lead to a project that will benefit spatial structure and/or diversity.	15	See decision support matrix (Table D2.b) for guidance on scoring.
Is this design likely to lead to a project that addresses limiting factors identified in the Recovery Plan or Biological Strategy?	10	See decision support matrix (Table D2.c) for guidance on scoring.
Is this a priority watershed (or major spawning area) for the target populations?	10	See decision support matrix (Table D2.d)
Is this design likely to lead to a project that is dependent on other limiting factors being addressed first (sequencing)?	20	See decision support matrix (Table D2.e) for guidance on scoring.
Are there milestones for future check-ins with the RTT as the design progresses?	10	30% design = 3 points; 30 & 60% design = 6 points; 30,60,90% = 10 points
<b>Subtotal for biological benefit =</b>	<b>100</b>	
<b>Certainty of Success</b>	<b>Score</b>	<b>Notes</b>
Is the design/feasibility proposal adequate to achieve the stated objectives?	22	See decision support matrix (Table D11) for guidance on scoring.
Will the design/feasibility study produce a product that will be implemented in the next phase (Design or Study Level)?	12	See decision support matrix (Table D12) for guidance on scoring.
Does the cost estimate reflect all expected tasks	32	See decision support matrix (Table D4.c) for guidance on scoring.
<b>Subtotal for Certainty of Success =</b>	<b>66</b>	
<b>Grand Total</b>	<b>166</b>	

Table D11. Certainty of success criteria developed by the Upper Columbia Regional Technical Team for rating Project Design and Feasibility proposals.

Criteria	Sub-question	Score
Project design	Is it a proven technique, or if innovative, does it appear it will work?	0-6
	Is the project properly sited and scaled?	0-8
	What is the likelihood that the projects structural integrity will be maintained over the appropriate timeframe?	0-8
Project Design Subtotal =		22

Table D12. Certainty of success criteria developed by the Upper Columbia Regional Technical Team for rating Project Design and Feasibility Studies.

Criteria	Level	Sub-question	Score	Notes
Design or Study Level	I (Planning)	Will there be a preferred alternative chosen?	4	Yes= 4; no= 0; partial= 1-3
	II (Permitting)	Will the design be completed to obtain permits?	4	Yes= 4; no= 0; partial= 1-3
	III (Design)	Will the design be final with permits in-hand and ready for construction?	4	Yes= 4; no= 0; partial= 1-3
	<b>Total Score Possible</b>		<b>12</b>	

## Literature Cited

Hillman, T. W. 2005. Project monitoring: A guide to sponsors in the Upper Columbia Basin. Prepared for the Chelan County Natural Resource Department. Wenatchee, Washington.

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[http://www.nwfsc.noaa.gov/trt/trt\\_viability.cfm](http://www.nwfsc.noaa.gov/trt/trt_viability.cfm).

National Research Council (NRC). 1996. Upstream: salmon and society in the Pacific Northwest. National Academy Press, Washington, D.C.

Roni, P., Beechie, T. J., Bilby, R. E. Leonetti, F. E., Pollock, M. M., and G. R. Pess. 2002. A review of stream restoration techniques and a hierarchical strategy for prioritizing restoration in Pacific Northwest watersheds. *North American Journal of Fisheries Management* 22:1-20.

Roni, P., editor. 2005. Monitoring stream and watershed restoration. American Fisheries Society, Bethesda, Maryland.

Upper Columbia Salmon Recovery Board. 2007. Upper Columbia spring Chinook salmon and steelhead recovery plan. Prepared for the National Oceanic and Atmospheric Administration National Marine Fisheries Service and the U.S. Fish and Wildlife Service, Portland, OR. *in* Available online: <http://www.ucsrb.com>

## ATTACHMENT E

### *Habitat Conservation Plan Tributary Funds/SRFB 12<sup>th</sup> Round*

*MISSION: To fund and support sustainable long-term, cost-effective projects that protect and restore Plan Species habitats and to foster partnerships with those that implement such projects.*

**Douglas PUD: Wells**

**Chelan PUD: Rock Island  
Rocky Reach**

**Chelan PUD:**

#### 2011 GENERAL SALMON HABITAT PROGRAM and SRFB PRE-PROPOSAL APPLICATION

This pre-proposal form is to help Project Sponsors develop successful applications for habitat protection and restoration proposals. Provide enough information so that reviewers can understand how the project would benefit salmon and steelhead. Depending on need, the Tributary Fund may provide technical assistance in the development of your final application.

**For the General Salmon Habitat Program and Upper Columbia SRF B projects, pre-proposals ARE required.**

**Timelines:** This pre-proposal form must be submitted by **May 9, 2011, 5:00 PM.**  
Final applications must be submitted by **June 30, 2011, 5:00 PM.**

The Upper Columbia SRFB/Tributary Fund Process Timeline and other documents may be viewed online at [www.ucsrb.com](http://www.ucsrb.com)

#### **Application Checklist**

- \_\_\_\_\_ Every question and section COMPLETELY answered
- \_\_\_\_\_ Project Summary (see examples on the following page)
- \_\_\_\_\_ Map and Ortho Photo of project location
- \_\_\_\_\_ Diagrams/pictures of proposed project work
- \_\_\_\_\_ Conceptual design or design, if available

Remember, the quality of the application is an example of the quality of work that could be expected from the project sponsor.

**DISCARD/DELETE THIS PAGE – DO NOT SUBMIT WITH APPLICATION**

#### Project Summary Paragraph

**Project Summary Paragraph Outlines:**

### Restoration Project

- 1) Objective statements
  - a. Location
  - b. Limiting factor(s) addressed
  - c. Species and life stages effected
  - d. Causal factors (why is the site impaired)
- 2) Watershed Category and Major/Minor Spawning Area designation (see RTT Biological Strategy and/or the Salmon Recovery Plan)
- 3) Specifically what the project will do and how it will accomplish its objectives (include details and quantities)
- 4) Expected benefits for habitat conditions and fish
- 5) Timeline for implementation including permits and completion

### Protection Project

- 1) Location and Quantity of land protected
- 2) Watershed Category and Major/Minor Spawning Area designation (see RTT Biological Strategy and/or the Salmon Recovery Plan)
- 3) Details of the habitat protected (quantities of wetland, side channels, riparian area, and upland)
- 4) Other benefits (i.e. birds, mammals, non-listed fish)
- 5) Highlight the risks of not protecting it, what are the immediate threats
- 6) Landowner interest and timeline

### Restoration Example

The objective of the Stump Creek Restoration Project is to increase habitat diversity and the abundance of juvenile steelhead and spring Chinook salmon within a 0.7-km-long segment of Stump Creek (between RM 1.3 and 2.0) that is artificially confined by a highway on one side and the railroad on the other side. Stump Creek, a tributary to the Cee Cee River, is within a Category 2 Watershed and is part of a Major Spawning Area for both spring Chinook salmon and steelhead. Because the railway and the highway cannot be moved, Glacier County Conservancy intends to increase habitat diversity, the primary limiting factor, by anchoring five large pine trees to the bank, placing four boulder clusters near the middle of the channel, installing three boulder weirs, and anchoring six brush bundles to the banks upstream from each boulder weir (for a total of 18 brush bundles). By adding structure (pools and cover) to the confined riffle reach, juvenile steelhead and spring Chinook should increase in abundance in the reach, thereby benefiting the Cee Cee steelhead and spring Chinook populations. The Conservancy expects to secure all necessary permits by December 2009 and complete the project by July 2010.

### Protection Example

The Wildland Conservation Group intends to purchase a 15-ha conservation easement from a willing landowner along upper Tanner Creek, a tributary of the Badger River. Tanner Creeks is within a Category 1 Watershed and is a Major Spawning Area for spring Chinook salmon. The easement would protect critical spawning habitat for spring Chinook from potential negative effects of residential development. The easement would also protect two wetlands, four cold-water springs, and several side channels from development. These off-channel features provide habitat for several wildlife species, including birds, amphibians, and mammals. Most of the land adjacent to the proposed easement has been subdivided for residential and commercial development. The Wildland Conservation Group has a signed letter of intent from the landowner and expects the easement to be in place by April 2009.

**DISCARD/DELETE THIS PAGE – DO NOT SUBMIT WITH APPLICATION**

## Habitat Conservation Plan Tributary Funds/SRFB 12<sup>th</sup> Round

Douglas PUD: Wells

Chelan PUD: Rock Island

Chelan PUD: Rocky Reach

### 2011 GENERAL SALMON HABITAT PROGRAM PRE-PROPOSAL

#### PROJECT SPONSOR INFORMATION

Sponsor:

Contact Person:

Address:

City, State Zip Code:

Telephone:

Email:

#### PROJECT TITLE

#### PROJECT SUMMARY (300 word maximum)

*See outline and examples on previous page.*

#### PROJECT BUDGET

Anticipated Request from SRFB:	\$
Anticipated Request from Tributary Committee:	\$
Anticipated Other Contributions/Matches:	\$
<b>Anticipated TOTAL Project Budget</b>	<b>\$</b>

#### PROJECT DESCRIPTION

*The total project description should be no greater than 2,000 words. Include enough information for the reviewers to have a clear understanding of your project. Attach labeled photos or illustrations and reference those figures in your description.*

##### 1. Project Overview

- a) List the primary project objectives, such as how this project will improve or maintain habitat conditions and habitat forming processes.

*Sample Project Objectives:*

*Acquisition: Protect a forested riparian buffer, a steep slope, a floodplain, or a channel migration zone; extinguish development rights.*

*Riparian: Increase shade: provide a source of woody debris recruitment; accomplish bank stabilization.*

*In-stream Habitat: Increase channel complexity; provide cover; capture sediment; reduce erosion; create pools; reconnect side-channels or floodplain.*

*Diversions and Screening: Reduce salmon mortality caused by water withdrawal.*

- b) Briefly state the nature, source, and extent of the problem that the project will address, including the primary causes of the problem (threats), not just the symptoms. Explain how achieving the project objectives will help solve the problem.
- c) Identify the fish resources/impacted species (species and life-history stages present, unique populations) and habitat conditions (including limiting factors) that will be affected by this project.
- d) Discuss how this project fits within the Upper Columbia Recovery Plan (i.e., does the project address a priority action, occur in a priority area, or target priority fish species?).

**2. Project Design**

- a) Describe the location of the proposed project.
- b) Briefly describe the project design and how it will be implemented. Describe the extent of the project and restoration methods.
- c) Describe the scale and size of the project, and its proximity to protected, functioning, or restored habitats. If available, please provide quantitative estimates on scale and size (e.g., acres of riparian habitat, kilometers of fencing, etc.).
- d) Briefly describe the monitoring plan, long-term stewardship, and maintenance obligations for the project or acquired land. For acquisition and combination projects, identify any planned use of the property, including upland areas.

**3. Project Development**

- a) List the individuals and methods used to identify the project and its location.
- b) Explain how the cost estimates for the project were determined.
- c) List all landowner names. Include a signed Landowner Acknowledgement Form (available on the SRFB Web site) from each landowner acknowledging that their property is proposed for Tributary Committee funding consideration.
- d) List the project partners that will contribute towards the proposed project and define their contribution.

**PROJECT TIMELINE**

*List the project milestones and the anticipated date of completion.*

Item/Milestone	Outcome	Target Date (Month/Year)


<b>DETAILED PROJECT BUDGET</b>
--------------------------------

<b>Item</b>	<b>Cost/unit</b>	<b>Units</b>	<b>SRFB Fund Request</b>	<b>Trib. Fund Request</b>	<b>Donated/Other Request</b>
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**PROPOSED PROJECT COST: \$**

*Submit this completed form to the FTP site, or as directed.*

*If you have any questions, please contact:*

*Becky Gallaher  
HCP Tributary Fund  
direct: 509.661.4814  
cell: 509.630.3820  
email: [becky.gallaher@chelanpud.org](mailto:becky.gallaher@chelanpud.org)*

# ATTACHMENT F

## Upper Columbia Joint Citizen Committee

12<sup>th</sup> Round 2011

SRFB Project Proposal Ranking Criteria

Total maximum score is 150 points

Criterion 1: Benefits to Fish and Certainty of Success (60 points as a weighted percentage based upon RTT score)

- How did the RTT rate this project?
- Does the project address documented habitat limiting factors as outlined in the Draft Upper Columbia Salmon Recovery Plan, Biological Strategy or local Watershed Plan?
- Is the project consistent with the Recovery Plan Implementation Strategy?
- Is the project/assessment based on proven scientific methods that will meet objectives?
- Are there any obstacles that could delay the implementation of this project or study (permitting and or design)?

Criteria 2: Project Longevity (30 points)

- Who has the responsibility to manage and maintain the project? What is the responsibility of current or future landowners?
- Has the sponsor successfully implemented projects in the past?
- Are the benefits associated with the project in perpetuity?
- Will the project last only a few years?
- Is there a high risk of failure associated with this project?

Criterion 3: Project Scope (15 points)

- How much habitat is being protected or gained?
- Are threats imminent?
- Is the scale of the proposed action appropriate?

Criterion 4: Community Support (25 points)

- Has there been public outreach about this project to assess the level of community support?
- Does the project build community support for salmon recovery efforts?
- Has the project sponsor secured landowner participation or acceptance?
- Is there any community outreach planned during and/or after implementation?
- Will there be public access?
- Are there multiple sources of funding? What is the percent match from those sources?

Criterion 5: Economics (20 points)

- Does the project represent an opportunity for economic benefit?
- Will this project help the region move closer to delisting or reduce regulatory intervention?