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July 21, 2021

RE: Rocky Habitat Section E and Appendix C recommendations

Dear Andy Lanier and relevant DLCD staff,

Please accept this package of materials that provides detailed recommendations for DLCD to consider for the development of Section E (Site-based Proposal Overview) and Appendix C (Proposal Contents and Questions) of the Rocky Habitat Management Strategy. These recommendations were developed and compiled by individuals and organizations that were involved in the pilot process of the Rocky Habitat Management Strategy. The enclosed materials include:

1. A flowchart outlining an overall recommended evaluation process timeline
2. A narrative document that corresponds with the flowchart but provides additional detailed recommendations
3. An example weighted scoring matrix for evaluation criteria

Thank you for providing the opportunity for one of our representatives to present an overview of these recommendations at the upcoming July 29<sup>th</sup> Workshop held by DLCD. We look forward to fruitful discussion and cooperation with DLCD and other stakeholders to help create a Rocky Habitat proposal and evaluation process that is efficient, transparent, and effective and will stand the test of time.

Sincerely,

Dawn Villaescusa  
President  
Audubon Society of Lincoln City

Larry Basch, Ph.D.  
Proposal Coordinator  
South Coast Rocky Shores Group, and  
Oregon Shores Conservation Coalition

Jesse Jones  
Proposal Coordinator  
North Coast Rocky Habitat Coalition

Mary Garrett  
President  
Shoreline Education for Awareness

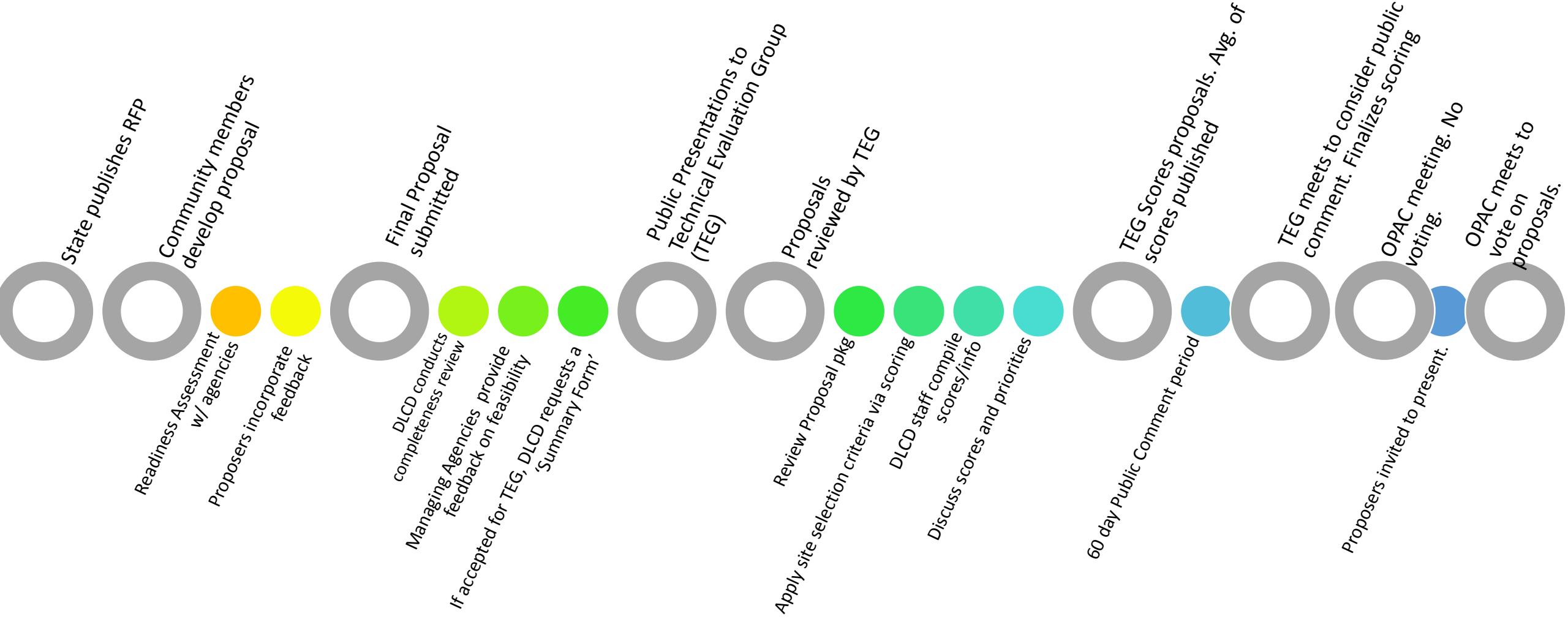
Laurel Field  
PISCO-OSU Affiliated Graduate Researcher  
OSU Marine Resource Management Program

Phillip Johnson  
Executive Director  
Oregon Shores Conservation Coalition

Joe Liebezeit  
Staff Scientist & Avian Conservation Manager  
Portland Audubon

CC: Marcus Chatfield, Patty Snow, Michael Moses

# Overall Site Selection Process (detail on next slide)



# First Part of Process



# Details: Request for Proposals

## Purpose:

The RFP is to provide clear guideposts for all involved in the process. The state can define and find agreement among managing agencies regarding priorities and technical review of proposals to meet the goals of the Rocky Habitat Management Strategy. The public can understand what will be prioritized for selection and receive information on timeline and next steps.

## Included Elements:

1. State priorities for site selection.
2. What elements of a proposal will be prioritized for selection .
3. The evaluation criteria and scoring system noting any changes from last RFP and stay the same during full process
4. What will result in automatic disqualification. (ie elements that must be included in proposal).

\* For points 1, 2, 3: can be amended between RFP rounds but **not** within a given proposal RFP/evaluation round.

# Details: SeaSketch and Proposal Applications

Purpose: Web-mapping tool is viable and proposal application questions are relevant and succinct

Included elements:

- Reconcile issues with SeaSketch or use another tool (e.g. formatting limitations, lack of compatibility with other GIS tools, etc.)
- Remove redundant and superfluous questions

# Details: Pre-application Readiness Assessment

Purpose: Prior to proposal submission, proposers submit a draft proposal outlining objectives. Agencies and proposers then go through readiness assessment to clarify proposal feasibility.

## Included Elements:

- DLCD provides readiness assessment proposal template
- Use existing templates (e.g. Army Corp of Engineers, Willamette Wildlife Mitigation Policy) to inform development of Readiness assessment

# Details: Completeness Checklist

Purpose: Completeness checklist ensures the application package checks all the boxes of the required elements of a proposal. It should not be based on completeness of individual answers. ‘Thoroughness’ will come during evaluation and application of site selection criteria by evaluators.

Included Elements:

- A checklist completed by DLCD staff
- Consists of elements that would involve disqualification for that round. (ie no stakeholder engagement, plan map, etc.)

# Details: Agency Feasibility Analysis

Purpose: The purpose of an agency feasibility analysis is to ensure the proposal ideas aren't wholly outside of the realm legality etc. Feasibility should be separate from 'completeness' and 'technical merit', which are the jobs of DLCD coordinator and TEG, respectively. The evaluation criteria (and scoring system) evaluates the idea.

Funding is not included because it is a Strategy document that can be implemented over several years and funding generally follows priorities. Some recommended designations were implemented 7 and 10 years later and the resource is better for it.

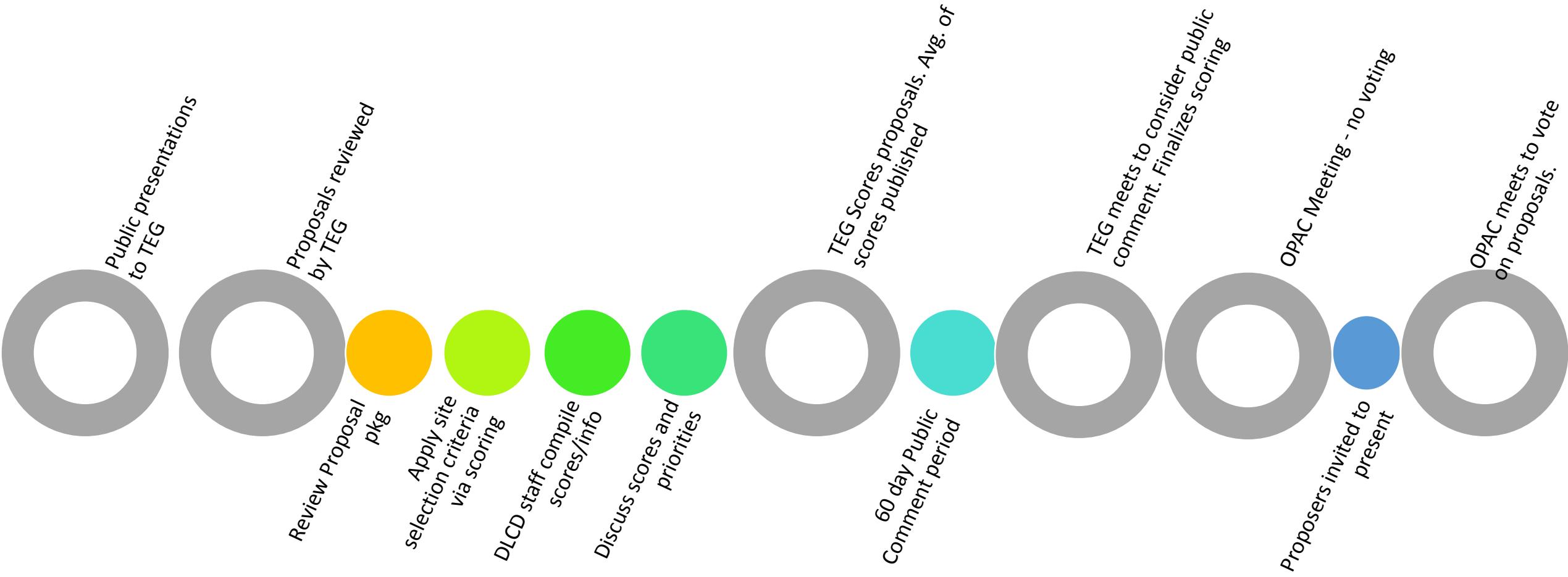
Elements include:

- Analysis is a published form and results as a cover sheet to proposal to Technical Eval Group (TEG) for merit evaluation.
- Each agency should complete the one page form.
- Consider 6 main categories: legality, agency process required, other MPAs it affects, factual, acknowledged management issue, and alignment with other state management strategies.
  1. Is it legal under state statute (if it is- good to go--- or identifies questions of legality)
  2. Will it require rulemaking? (Not to qualify or disqualify but to note what level of agency work and resources will be required of recommended by OPAC and accepted by LCDC.)
  3. Does it affect the marine reserve program or other MPAs
  4. Is all the science and factual information in the proposal accurate and from reliable sources (anecdotal or quantitative)? (A factcheck.)
  5. Are the management problems listed in the proposal also acknowledged/published by the agency? (If they aren't, the premise for the management change may be erroneous or should be supported by facts and sources to consider by the TEG.)
  6. Does this proposal fit into the agencies guiding documents? Ie Nearshore Strategy, policy regarding aquatic lands in ORS, OAH Action Plan etc

# Details: Summary Form

Purpose: The purpose of this form is to provide the TEG with an overview and preparation for the proposer presentations. The form template can be created by DLCD staff. Proposers can fill it out ensuring accuracy and saving DLCD staff time. DLCD staff can review and approve before providing to TEG in proposal package.

# Process Continued...



# Details: Selection/Evaluation Criteria

Purpose: Set of questions the TEG uses to evaluate and score (using corresponding scoring system) each proposal

## Included elements:

- RHMS goals, objectives, and policies should be the guiding force in shaping proposals throughout the entire evaluation phase.
  - Split up existing one criteria question for goal and objectives
- Ensure that criteria questions are based on management need
- Use measurable criteria
- Evaluation criteria questions should reference management needs in other relevant plans (e.g. Nearshore strategy, OAH action plan, etc.)
- Use available and relevant existing resources (e.g. Oregon Rocky Shores Natural Resources Inventory)
- One criteria could be ‘feasibility’ using the form the agencies provide from the agency feasibility analysis.

# Details: Scoring system

Purpose: The purpose of a scoring system is to provide value to the criteria.

Elements of scoring system:

- Multipliers can be used to give more weight to an element of interest to the state (ie. current or most important priorities).
- Each question broken down into a few categories of meeting the criteria (e.g. WWMP used low, med, high for each eval. question with set # of points for each category)
- Consider thresholds defined for proposal recommendation

# Details: Public Comment

Purpose: Public reviews the scores that the TEG has assigned them and have the opportunity to support/not support proposals and provide justification for improving/downgrading score.

# Details: Final TEG meeting after public comment

Purpose: re-evaluate and re-score (if necessary) proposals based on feedback during the public comment period using same evaluation criteria / scoring system.

# Details: OPAC Discussion Meeting

- OPAC is a political voting body and will weigh other issues that the technical evaluation group did not.
- Opportunity to consider and digest conversation with one another, public testimony, and the public comment that was received is valuable.
- OPAC could invite proposers to give a presentation or other experts/managing agencies to provide input or information during discussion without a vote pending.

# **Narrative recommendations on the Rocky Habitat Management Strategy (RHMS) proposal and evaluation process**

\* This document corresponds with the flowchart document also submitted

## **1. Request for Proposals**

- 1.1. Purpose: The RFP is to provide clear guideposts for all involved in the process.
- 1.2. Benefits
  - 1.2.1. Increased public awareness and opportunity
  - 1.2.2. Promotes the RHMS as a whole
  - 1.2.3. Shared understanding and expectations
  - 1.2.4. Can crowdsource interest in sites needing site-based management
- 1.3. Included Elements:
  - 1.3.1. Timeline
  - 1.3.2. State priorities for site selection (can change over time)
  - 1.3.3. Types of designations and regulatory standards
  - 1.3.4. Publicize evaluation process, criteria, and scoring system (once these are defined they don't change for that particular round of the process however these can be adjusted for a subsequent round of proposals)
  - 1.3.5. Identify required information and proposal structure
  - 1.3.6. Define expectations for stakeholder outreach
    - 1.3.6.1. Categories of stakeholders, mechanisms
  - 1.3.7. Evaluation criteria and scoring matrix
  - 1.3.8. DLCD town meetings to inform public

## **2. Proposal Development**

- 2.1. Purpose: To best incorporate local knowledge and maintain an up-to-date management strategy, members of the public, agencies, and other entities are invited to submit site-based management proposals for review and potential incorporation into the strategy.

### **2.2. Proposer resources**

- 2.2.1. Throughout the proposal development period encourage informal dialogue between proposers and agencies on data sources, potential issues, priorities, preliminary plan map, etc.
- 2.2.2. Early scoping opportunity to meet with the Technical Evaluation Group (TEG-see 7.3.1) to discuss comments
- 2.2.3. Establish cooperative working relationships between proposers and agencies at the onset
- 2.2.4. Update and add to expert list for proposers to contact
- 2.2.5. Reconcile issues with SeaSketch or use another tool
  - 2.2.5.1.1. Formatting limitations
  - 2.2.5.1.2. Single author limitation
  - 2.2.5.1.3. Proposal naming protocol is non-descriptive and confusing when one group is submitting two or more proposals
  - 2.2.5.1.4. Difficult for the public to utilize (not user friendly)

- 2.2.5.1.5. Lack of compatibility with other GIS tools such as Oregon Explorer
- 2.2.5.1.6. Additional data layers available in other platforms
- 2.2.5.1.7. DLCD maintains and updates RH Web Mapping Tool
- 2.2.5.1.8. Trial test any new platform used for proposal submittals. Many agencies have platforms used for grant applications that might be suitable.

### **2.3. Stakeholder Outreach**

- 2.3.1. Define expectations
- 2.3.2. Intent is to inform public and use stakeholder input to inform proposals
- 2.3.3. Document supporting and opposing views but no expectation to reach consensus among all stakeholders
- 2.3.4. DLCD should facilitate proposer stakeholder engagement as much as possible in an unbiased manner (e.g. promote events, help form panels of experts at events, etc.)

### **2.4. Proposal template & questions**

- 2.4.1. Include an executive summary in the proposal.
- 2.4.2. The proposal template should indicate where to list management recommendations and should clearly define the information needed to evaluate management recommendations.
- 2.4.3. The time range for each management recommendation should be stated as well as acknowledged in the evaluation process: near-term, long-term.
- 2.4.4. Proposal questions and requested elements should be directly relevant and necessary for evaluation.
- 2.4.5. Remove redundant and superfluous proposal questions within and among proposal sections (e.g. request to identify key resources including ESA species and indicator species was redundant with the request to list all flora and fauna present and the latter was of little value and use during the review).
- 2.4.6. Clarify what funding information (if any) is requested under question 26: enforcement changes.
- 2.4.7. Consider a length limit to responses to each question in proposal application or overall page limit to proposal.
- 2.4.8. Include a question(s) on how the proposal addresses climate change impacts but don't leave it to the public to dig deep on these issues (need to be verified by relevant experts).
  - 2.4.8.1. Fosters and promotes research and monitoring related to the effects of climate change, ocean acidification or hypoxia
  - 2.4.8.2. Maintains and restores carbon sequestration processes
  - 2.4.8.3. Management recommendations acknowledge sea level rise effects on rocky habitat

## **3. Pre-Application Readiness Assessment**

- 3.1.1. Purpose: Prior to proposal submission, proposers submit a preliminary near complete proposal outlining objectives. Agencies and proposers then

meet to complete a readiness assessment to clarify proposal feasibility and key issues. While proposals are not rejected at this stage this is where agencies voice all concerns with proposers.

### 3.1.2. Included Elements

- 3.1.2.1. DLCD provides readiness assessment proposal template
- 3.1.2.2. Use existing processes (e.g. Army Corp of Engineers, Willamette Wildlife Mitigation Plan) to inform development of Readiness Assessment
- 3.1.2.3. Time provided for proponents to rectify problematic issues and/or address concerns discussed in Readiness Assessment

## 4. Completeness Checklist

- 4.1. Purpose: Completeness checklist ensures the application package checks all the boxes of the required elements of a proposal. It should not be based on the completeness of individual answers. ‘Thoroughness’ will come during evaluation and application of site selection criteria by evaluators.
- 4.2. Included elements
  - 4.2.1. Checklist completed by DLCD staff
  - 4.2.2. Required elements
    - 4.2.2.1. Site-based plan map
    - 4.2.2.2. Goal statement
    - 4.2.2.3. Must include narrative on how RHMS principles and objectives are addressed
    - 4.2.2.4. Stakeholder outreach
      - 4.2.2.4.1. Need description of minimum acceptable outreach
  - 4.2.3. Proposals not meeting checklist are rejected with no further evaluation
    - 4.2.3.1. Proponent informed of reasons for rejection

## 5. Agency Feasibility Analysis

- 5.1. The purpose of an agency feasibility analysis is to ensure the proposal ideas aren’t wholly outside of the realm of legality, etc. Feasibility should be separate from ‘completeness’ and ‘merit’, which are the jobs of DLCD coordinator and Technical Evaluation Group (TEG), respectively. The evaluation criteria (and scoring matrix) evaluates the idea.
- 5.2. Included Elements:
  - 5.2.1. Funding is not included because it is a Strategy document that can be implemented over several years and funding generally follows priorities.
  - 5.2.2. The analysis must be transparent and documented (see summary form)
  - 5.2.3. Each agency should complete a one page form that is attached to the proposal, which is subsequently provided to the TEG for merit evaluation.
  - 5.2.4. Opportunity for dialogue between agencies and proponents to clarify
  - 5.2.5. Could ask/answer 6 main categories:
    - 5.2.5.1. Assess legality under state statute?
      - 5.2.5.1.1. If it is--- good to go--- or identifies questions of legality
    - 5.2.5.2. Will it require rulemaking? (Not to qualify or disqualify but to note what level of agency work and resources will be required if

- recommended by OPAC and accepted by LCDC).
- 5.2.5.3. Does it affect the marine reserve program or MPAs?
  - 5.2.5.4. Is all the science and factual information in the proposal accurate and from reliable sources (anecdotal or quantitative)? (A factcheck)
  - 5.2.5.5. Are the management problems listed in the proposal also acknowledged/published by the agency?
    - 5.2.5.5.1. If not, does the proposal provide supporting documentation?
  - 5.2.5.6. Does this proposal fit into the agency's guiding documents? (i.e., Nearshore Strategy, policy regarding aquatic lands in ORS, OAH Action Plan, etc.)

## **6. Summary Form**

- 6.1. Purpose: The purpose of this form is to provide the TEG with an overview and preparation for the proposer presentations. The form template can be created by DLCD staff. Proposers can fill it out ensuring accuracy and saving DLCD staff time. DLCD staff can review and approve before providing to TEG in the proposal package.
- 6.2. Included Elements
  - 6.2.1. Name of Proposal
  - 6.2.2. Type of Proposed Designation
  - 6.2.3. Goal
  - 6.2.4. Key resources
  - 6.2.5. Management recommendations summary
  - 6.2.6. Synopsis of feasibility assessment (this section completed by agencies)

## **7. Evaluation Process**

- 7.1. Purpose: Proposals are consistently and objectively reviewed through a transparent process that uses pre-defined evaluation criteria and scoring system that reflect the RHMS goal, objectives and principles and site merit.
- 7.2. Test evaluation process prior to issuing RFPs
- 7.3. Included Elements:
  - 7.3.1. Form Technical Evaluation Group (TEG)
    - 7.3.1.1. Define minimum qualifications for members
      - 7.3.1.1.1. TEG should be formed based on the candidate's technical expertise and not based on representation of a particular constituency.
  - 7.3.2. Develop Evaluation Criteria questions (see **section 8 below for details to improve existing Evaluation Criteria**)
  - 7.3.3. Develop a scoring matrix system that is as objective as possible and clearly laid out in appendix to the Strategy
    - 7.3.3.1. See Willamette Wildlife Mitigation Plan (WWMP) for an example.
    - 7.3.3.2. Use a weighted scoring per question with higher priority questions getting a greater number of total points

- 7.3.3.3. Within each question consider a score of 0-5 for each criteria based on defined levels of meeting that criteria (e.g. WWMP used low, med, high for each eval. question with set # of points for each category)
- 7.4. Process components & timeline:
- 7.4.1. **Proponents invited to provide brief presentations and/or summary bullets to the TEG.** Reviewers may ask the proponents questions.
- 7.4.2. **TEG evaluates and scores proposals** but does not make a recommendation to OPAC though there may be a threshold defined
- 7.4.2.1. Threshold: consider threshold score to be forwarded to OPAC that would delineate an overall score cut-off for “recommended” versus “not recommended” proposal.
- 7.4.2.2. All evaluation sessions of public proposals should be open to the public (no closed meetings) even if only deliberations and no final decisions are made.
- 7.4.2.3. Proposal evaluation meetings should be announced at least 2 weeks in advance and meeting summaries should be substantive enough to inform someone on what happened if they couldn’t attend.
- 7.4.3. **DLCD compiles scores, info and summary statement to be submitted to OPAC (Published).**
- 7.4.4. **Public comment**
- 7.4.4.1. Purpose: Provide opportunity for the public to comment on TEG scoring of proposals as well as the proposals themselves.
- 7.4.4.1.1. Included Elements:
- 7.4.4.1.2. 60 day period
- 7.4.4.1.3. Widely publicized and access for all Oregonians
- 7.4.5. **DLCD prepares a summary of public comments.** The summary as well as all public comments are appended to proposal package submitted to OPAC
- 7.4.6. **TEG meeting after public comment**
- 7.4.6.1. Purpose: re-evaluate and re-score (if necessary) proposals based on feedback from the public comment period using the same evaluation criteria / scoring system.
- 7.4.6.1.1. Proposals themselves cannot be changed after they are officially submitted after the readiness assessment, however they can be rescored by TEG based on public comment
- 7.5. **OPAC Discussion Meeting (no voting)**
- 7.5.1. Purpose: Opportunity to consider and digest conversation with one another, public testimony, and the public comment that was received.
- 7.5.2. OPAC is a political voting body and will weigh other issues that the technical evaluation group did not.
- 7.5.3. **OPAC invites proposers to give a presentation or other**

experts/managing agencies to provide input or information during discussion without a vote pending.

7.6. **OPAC vote on proposals**

## **8. Evaluation Criteria**

- 8.1. Purpose: Set of questions the TEG uses to evaluate site merit and score (using weighted scoring matrix)
  - 8.1.1. Included Elements
    - 8.1.1.1. RHMS goal, objectives, and policies should be the guiding force in shaping proposals throughout the entire evaluation phase.
    - 8.1.1.2. Split up existing one criteria question for objectives and management principles into multiple criteria questions
      - 8.1.1.2.1. Recommend using individual RHMS objectives and management principles as multiple criterion
    - 8.1.1.3. Evaluation criteria questions are clearly defined and used consistently throughout the process from proposal template to evaluation criteria.
    - 8.1.1.4. Use measurable criteria that are objective and associated with a weighted scoring matrix. Avoid open ended questions.
    - 8.1.1.5. Evaluation criteria questions should reference management needs in other relevant plans (e.g. Nearshore strategy, OAH action plan, etc.)
    - 8.1.1.6. Use available and relevant existing resources (e.g. Oregon Rocky Shores Natural Resources Inventory)
    - 8.1.1.7. One criteria could be feasibility using the form the agencies provide from the agency feasibility analysis.
    - 8.1.1.8. Recommend considering evaluation criteria question(s) specific to climate change concerns.
    - 8.1.1.9. Criteria should not have any points (weight) assigned to information that was noted in the application as not included in proposal evaluation; i.e. budget
    - 8.1.1.10. Criteria on implementation timeline being realistic
      - 8.1.1.10.1. Long-term management recommendations should not be evaluated on a mandate for immediate implementation, i.e. funding and other resources may not be initially available but long-term management recommendations may still have merit
    - 8.1.1.11. Incorporate site evaluation criteria from 1994
      - 8.1.1.11.1. Example: degree of resource conflict at a site; evidence of wildlife harassment

Example of weighted scoring matrix for Rocky Habitat Site based management proposals								
this example is only a subset of evaluation criteria to be used in a scoring matrix								
Category	Criterion	0 Points	1 Point	3 Points	5 Points	Score	Multiplier	Weighted Score
Stakeholder Outreach (15/100 points)								
	Diversity of factions	No documentation provided	Insufficient	Steps taken to reach most stakeholders but effort to outreach at least one key faction listed in RFP not documented	Clear and actionable steps documented to reach a diversity of stakeholders through a variety of means	3		
	Geographic distribution	No outreach	Documentation insufficient to evaluate the geographic distribution	limited geographic range relative to site user distribution	Geographic range of outreach consistent with user distribution	5		
	Stakeholder views	Stakeholder views not documented	Insufficient information to understand stakeholder viewpoints	Only supporting views with no documentation if opposing views were expressed	Both supporting and opposing (if any) viewpoints well documented	1		
Sub-Total						9	1.00	9
Wildlife harassment/ Habitat disturbance (20/100 points)								
		No documentation provided	Low impact	Impact potential rated moderate or low with T&E species present or large pupping area	High impact documented, T&E species present (examples, trampling, nest failure, pup deaths human caused)	5		
Sub-Total						5	4.00	20
Policy: Public access preserved to maximum extent practical and recommendations minimize user conflict while protecting rocky habitat resources (10/100 points)								
		Proposed restrictions on user access are inappropriate or unreasonable	Proposed low to moderate restrictions on user access not fully justified or will not contribute to meeting stated site goals	Some user access may be justified but measuring effectiveness will be difficult and/or methods not documented	Any user access limitations are well justified to protect/restore wildlife and/or habitat and methods for evaluating effectiveness are included			
Sub-Total						3	2.00	6.00
Types of Use (10/100 points)								
	Educational	Current or potential educational use is inconsistent with site goals	Limited educational opportunities and/or limited existing interpretive programs		Proposal clearly describes how ongoing organized interpretive programs will be benefited	3		
	Research	Current or potential research use is inconsistent with site goals		Site conditions are conducive to future research. Site-specific research opportunities are not available at other sites.	Ongoing research will be benefitted by designation. Management recommendations are consistent with use of site for research	1		

### **Example of weighted scoring matrix for Rocky Habitat Site based management proposals**

*this example is only a subset of evaluation criteria to be used in a scoring matrix*