



# Cooperative Agricultural Pest Survey (CAPS) 2014 National Survey Guidelines May 8, 2013

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## INTRODUCTION

The purpose of these guidelines is to provide direction for the Cooperative Agricultural Pest Survey (CAPS) program. These guidelines are written for State Departments of Agriculture, Plant Protection and Quarantine (PPQ) personnel, tribal governments, and collaborators. These guidelines provide a general overview of the CAPS program. Specific details concerning current or yearly survey activities may be obtained from the the National Survey Coordinator in Policy Management, National Operations Manager for Pest Detection, or PPQ State Plant Health Directors.

## MISSION

The mission of the Cooperative Agricultural Pest Survey (CAPS) program is to provide a survey profile of exotic plant pests in the United States deemed to be of regulatory significance\* to the United States Department of Agriculture (USDA), Animal and Plant Health Inspection Service (APHIS), Plant Protection and Quarantine (PPQ), State Departments of Agriculture, tribal governments, and other cooperators through early detection and surveillance activities by:

- Confirming the presence or absence of environmentally and/or economically harmful plant pests that impact agriculture or the environment, and that have potential to be of phytosanitary significance; and
- Establishing and maintaining a comprehensive network of cooperators and stakeholders to facilitate our mission and to safeguard our American plant resources.

*\*The term “regulatory significance” is defined in Appendix A.*

The CAPS program strives to conform to the International Standards for Phytosanitary Measures (ISPMs) as adopted by The International Plant Protection Convention (IPPC). The IPPC is an international plant health agreement, established in 1952, that aims to protect cultivated and wild plants by preventing the introduction and spread of pests. The United States is a signatory to The Convention. The IPPC website can be found at: <https://www.ippc.int/index.php?id=2&L=0>.

## ROLES AND RESPONSIBILITIES

Central to the success of the CAPS program is clarity about the roles and responsibilities of all parties involved in cooperative surveys. This includes surveys conducted by PPQ and state cooperators funded through the Pest Detection line item, as well as surveys funded through Section 10201 of the Farm Bill. While the focus of these survey guidelines is primarily directed to PPQ state offices and state cooperators, it also extends

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to universities, tribal governments, and, potentially, to industry partners, non-traditional parties (i.e., environmental groups), and other organizations concerned about the threat of introduced invasive pest species. Appendices B and C list the roles and responsibilities of the State Plant Health Director (SPHD), State Plant Regulatory Official (SPRO), Pest Survey Specialist (PSS), and State Survey Coordinator (SSC) positions within the CAPS program.

At both the national and state-levels, an organized effort to engage industry early in the survey-planning process is recommended. This is necessary because the CAPS program continues to shift its strategy from being solely “pest-specific,” to a format for surveying for several pests based on commodities, taxons, environments and habitats, industries and businesses, and the continuum along pest introduction pathways, with a few exceptions.

The hosts, commodities, industries, and businesses impacted by pests span the country nationally, and it is appropriate to address the risks from an agroecosystem perspective. APHIS believes the commodity/ecosystem approach will provide a holistic framework for prevention, preparedness, response, and recovery from invasive pests of regulatory significance. APHIS realizes the value of engaging stakeholders throughout this continuum, especially when communicating about pest risks, jointly setting survey priorities, and leveraging resources across organizational boundaries. It is imperative that the National and State CAPS Committees communicate the goals and objectives of the CAPS program. Open dialogue at the national and state level with industry and other stakeholders is of vital importance for the success of CAPS. In order to facilitate this dialogue, PPQ has provided a ranking of pest threats in the form of a prioritized list for reference only (Appendix D), guidance on taxonomic support (Appendix E), and guidance on selecting which pests to survey, given the hosts, climate, and other factors unique to each State (see the NCSU-APHIS Plant Pest Forecasting System (NAPPFAS) website, online at [link not available]).

The National CAPS Committee (NCC) will provide the strategy for identifying pests of national priority. The NCC will revise the National Survey Guidelines when annually reviewing the policy, strategy, and performance of the CAPS program. The NCC Bylaws contain more information about the NCC and the roles and responsibilities of the SPHD, SPRO, PSS, and SSC within the CAPS program (Appendix F).

The National CAPS Committee will approve annually a “Priority Pest List.” This list will include the commodity and taxon pests, as well as Pests of Economic and Environmental Importance, which are taken from the AHP Prioritized List (Appendices G-1 and G-2). The Priority Pest List will be based on input by PPQ, the States, the PPQ Center for Plant Health Science and Technology (CPHST) (i.e. pest ranking, feasibility of survey, etc.), PPQ National Identification Services (NIS) (pest identification), and commodity organizations. States will select from this list to complete the Priority Surveys in CAPS.

The State CAPS Committee will determine and recommend survey priorities for pests of State regulatory concern in their state. The emphasis of the CAPS program has moved to

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a commodity and industry/business focus; PPQ encourages industry-state partnerships for pest survey.

The National Survey Coordinator (NSC) will provide overall direction for the CAPS program. The NSC is responsible for the Cooperative Agreement with Purdue University, which provides the administrative and financial framework for the National Agriculture Pest Information System (NAPIS) database, Pest Tracker (the public face of CAPS survey efforts), the CAPS Resource and Collaboration site, and other related websites.

The NSC also is the chairperson of the NCC. The NSC, with input from the NCC and the National Plant Board (NPB), sets plant pest detection priorities and implements survey and detection activities in the United States. The NSC also coordinates communication among the NCC, PPQ Field Operations and Science & Technology Managers, and the NPB on prioritizing pest survey needs, providing information on pest risk, managing the allocation of pest detection funds and resources, and formulating a pest list for future surveys.

The NSC also participates in the annual budget formulation and ensures survey technologies are identified for use by the CAPS community. The NSC has nationwide responsibility to coordinate activities of CAPS and to ensure that the database for CAPS survey data meets the needs of CAPS. The NSC is responsible for ensuring that CAPS is included in the planning and implementation of national PPQ programs, and also is responsible for tracking the performance of the CAPS program.

The National Operations Manager (NOM) will be responsible for reviewing State performance, and is accountable for the *administration* of the CAPS program in PPQ Field Operations. Field Operations supervises the SPHDs and the NOM communicates programmatic issues to the States through the SPHDs, who fiscally and programmatically are accountable for periodic and final Accomplishment Reports.

The SPHD and SPRO, in consultation with the SSC and PSS and considering the recommendations and advice of the State CAPS Committee, are responsible for the selection of pests that are important to their State. This collaboration will allow flexibility on a state-by-state basis. In order to provide this flexibility, performance measures must be in place early in the planning process so that there is cooperator accountability where Federal funds are provided. These performance measures will enable the assessment of accomplishments made toward pest selection and survey objectives outlined in CAPS cooperative agreements. A summary of activities performed by SSCs that result in advancing the overall programs effectiveness will support this assessment process. A reporting mechanism for the SSC to report on activities in support of the Pest Detection mission across all programs for which activities were conducted in their state is found in Appendix P-1. This also will help justify the continued funding of the SSC position in Infrastructure.

The SSC, in collaboration with the PSS, will make use of pest risk information from various sources. Such sources include pest data sheets; pest risk assessments; NAPFAST; pests ranked through the Analytic Hierarchy Process, as conducted by CPHST (Appendix D); “risk zones” and other information communicated to the SPHDs by the NOM; pests that need to be surveyed per the PPQ Leadership Team’s endorsement of recommendations of the PPQ New Pest Advisory Group (NPAG); industries’ suggestions for coordinated survey/monitoring of pests of mutual concern; changes in patterns of risk or commerce that indicate domestic survey is merited along a risky pest pathway; PPQ-regulated “domestic/emergency program pests;” and select agents that present some threat for potential bioterrorism.

### **FUNDING & WORK PLANS**

PPQ intends to allocate funds to each State in a fair and transparent manner. Each State needs to be able to predict the minimal level of Federal funding it will receive from year-to-year in order to plan surveys and acquire/retain a resource base. However, the CAPS program needs to be sufficiently flexible to address national priorities that may have shifted since pests were first being considered for survey due to new pests that may have been found, or specific direction APHIS may have received in the federal funding appropriations.

Funds to support CAPS are generally provided to State Departments of Agriculture and other cooperators through cooperative agreements, which are administered through the PPQ Field Operations offices. The annual PPQ Pest Detection “line item” appropriation is the funding source for CAPS. Funds from the Pest Detection line item also may be used, in some cases when pests are found that are new to the United States or are found in new areas of the country. However, The CAPS Program is focused on early detection, and these surveys, if approved, are not intended to intensively delimit the extent of spread of a pest around a specific infestation site.

The funding allocation process is linked to justifications from each State for: (I) Infrastructure and (II) Surveys to address national priority pests. Pests of state concern should be bundled with national priority pests in bundled surveys.

#### **I. Infrastructure**

Funds are provided to each state to support the State Survey Coordinator (SSC), specifically to cover expenses related to salary; benefits/fringe; standard support equipment (including but not limited to: desktop computer, laptop computer, cell phone, or other PPQ-recommended equipment); in-state travel (cooperator and/or industry meetings, outreach, etc.); and departmental overhead typical for this position. If a need is demonstrated for data management support, i.e., part-time salary/benefits, it may be appropriate to include these expenses in Infrastructure. A justification must be provided. Outreach should enhance survey and pest detection efforts, and should be linked to an active survey effort in the State in a manner that enhances the CAPS program (see Appendix I for a more detailed explanation).

Out of state travel for the SSC is capped at \$3,000, and will be approved only for CAPS-specific meetings that the individual attends in their role as the state CAPS representative. It is not appropriate to charge to the Pest Detection agreements travel to other meetings not specific to the CAPS program. In-state travel to conduct surveys should be addressed in the Survey work plans. Other in-state travel needs should be clearly aligned with supporting CAPS initiatives.

Care also should be taken that equipment requests are needed in the current year and are not being carried over from a previous agreement. Equipment requests should support the SSC only, and SSCs are encouraged to provide PPQ an IT inventory to ensure needs are being met, equipment is replaced in a reasonable time frame, and equipment procured to support CAPS activities remains available to the program. Hand-held devices for data management will not be supported.

Personnel expenses for conducting survey activities should be addressed in the Survey work plans. Survey expenses are not allowed in Infrastructure funding.

Infrastructure costs will be addressed during the formulation of the total budget for each State. States should plan on Infrastructure funding based on the previous year or the amount communicated to the State by the NOM. For FY14, **the maximum possible Infrastructure award for each state is the final, reduced amount that each state received for FY13.** This funding level may change, however, as the CAPS Management Team explores ways to standardize funding utilizing a national perspective. More guidance regarding Infrastructure will be coming during the summer of 2013. States are encouraged to leverage funding from other programs to cover and reduce Infrastructure costs. The remaining amount of the State's total will be designated to Survey (see the funding section below). Written work plans for specific surveys must be provided that are separate from Infrastructure (see next section).

## **II. Priority Surveys**

**Priority Surveys** are those survey initiatives that have been identified by the National CAPS Committee as being of high priority to merit a priority survey effort (see Appendix G-1 and G-2 for the Priority Pest List). **The CAPS program is a national program, and as such, the primary focus is on national priority surveys.** The focus of these surveys is on detecting pests in areas where their presence (or absence) is unknown by focusing on the host(s) and/or environment of given pests, or on location-specific criteria, particularly in situations where a state has evidence of risk from prior emergency actions against certain types of facilities or operations.

In response to comments and suggestions from the states and our stakeholders to provide more flexibility for surveys, the NCC has decided to continue to present a 2-prong approach for Priority Surveys. Priority Surveys may consist of 1) traditional commodity-based and similarly-formatted surveys (e.g., Small Grains and Exotic Woodboring & Bark Beetle Surveys) prepared by CPHST as presented in past years (designated

Designed Surveys), and/or 2) unique bundled surveys developed by the States (designated Bundled Surveys).

1. **Designed Surveys:** Included in this category are the traditional commodity-based surveys and those surveys not necessarily based on commodities, but have been prepared by CPHST and have the same format for surveying for multiple pests within an environmental niche, business model, or taxonomic group. The intent of these surveys is to detect pests not known to be present in those areas of the nation where a particular commodity is grown, in a particular environment or habitat, or associated with various business models. The goal of the CAPS program is to conduct national surveys and obtain a national dataset for exotic pests in commodities, habitats, and businesses of national importance. The following are appropriate for conducting a Designed Priority Survey in 2014.

- Commodity-based surveys:\*<sup>\*</sup> Corn, Cotton, Oak, Pine, Small Grains, and Soybean
- Taxonomic group-based surveys:\* Exotic Wood Borer and Bark Beetle (EWB/BB), Cyst Nematodes, and Mollusks

\* Not all pests listed in a commodity- or taxon-based survey need be targeted by an individual State. Target only those pests that are important and make biological, environmental, or economic sense to the State. Selecting a portion (e.g., 50% or greater) of the pests listed in a commodity survey guide fulfills the requirement of conducting that survey.

\* Grape, Palm, Solanaceous, and Stone Fruit Commodity Surveys will not be offered through CAPS for 2014 funding. These and other surveys that are based on [Specialty Crop Commodities](#) (e.g., Orchard (Apple, Pear, etc.), Fruit Flies, and other fruit, vegetable, and specialty crop surveys) should be suggested for Farm Bill funding. Like-wise, Asian Defoliator surveys are more aligned with the language of the Farm Bill, and will not be supported for funding through CAPS.

\* States are discouraged from submitting similar work plans or suggestions to both the CAPS and Farm Bill programs. Projects or surveys not adhering to these Guidelines may not be reviewed or funded in either venue.

2. **Bundled Surveys:** The intent of the Bundled Surveys is to give the States the flexibility to design their own surveys, within certain parameters. **The survey must concentrate on multiple, high priority pests and efficiency of survey.** A State may create a bundled survey that is **based on a common factor**, such as site, habitat, environment, business, etc., that makes biological, environmental, and/or economic sense in that State. The survey must include pests from the Priority Pest List (Commodity Pests [Appendix G-1] and/or Pests of Economic and Environmental Importance [Appendix G-2]). Pests of importance to a State not on the Priority Pest



List, but in common with the other pests, may be included in the bundled survey. States must show justification for the bundled survey. An example of a Bundled Survey is a Nursery Survey with a selection of several pests from the Priority Pest List that are important to the State, with perhaps a pest or two not on the Priority Pest List, but of State importance. The challenge is for the States to decide what works best for the agriculture and environment in their State. The survey effort for pests added by the State (including diagnostics, trapping supplies, etc.) must be less than half of the cost of this particular survey. Surveys for pests that are established, endemic, native, or indigenous in that state for the purpose of management will not be allowed. Surveys that a State may choose to conduct for pests of regulatory significance within their State should bundle these pests with national Priority Pests in Bundled Surveys. See Appendix O for examples.

### **Pathway Approach to Survey:**

When planning surveys, the NCC encourages the States to use a pathway approach when deciding on pests and locations to survey. States should plan to survey where the risk is highest. This type of targeted detection survey or risk-based survey enhances the ability of the CAPS Program to identify and target high risk areas, zones, locations, and sites that have the highest potential for exotic pest introductions, and to successfully provide early detection of these pests. This concept can be combined with any survey using sound analytical tools, known risk sites, past history of pest detections in a State, and other avenues of information. It is understood that risk factors can be examined along a “risk continuum” beginning at offshore sites (points of origin) to points of potential establishment (commodity production areas, natural lands), and numerous risk points in between (wholesale distribution centers, nurseries, intermodal sites, rail yards, etc.). The identification of risk points and development of targeted surveys will maintain the focus of the survey program on our top commodities at risk and the high priority pests as identified through the AHP process. This emphasis will create a flexible system allowing states to package additional pests of concern to their specific states.

States should devote the majority of survey efforts to sites where the risk is highest. However, in accordance with ISPM No. 6, Section 2.3, states also may want to consider a percentage of random sites “to detect unexpected events.” The emphasis should be put on high risk sites, but it may be important also to incorporate sites of somewhat lesser risk into a survey. This is a state-by-state decision based on the perceived risk and resources available in a particular state.

### **Overall Funding Formula**

Funding for the CAPS program is provided by Congress through the Pest Detection line item in the Federal Budget. Pest Detection also funds several other initiatives in support of the CAPS program. Due to Presidential and Congressional priorities, as well as the budget cycle, funds available for the next survey year are not known completely at the time these guidelines are published. The President’s proposed FY14 budget for Pest Detection is the same as the final FY13 reduced budget. Therefore, for FY14 planning,

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states should use the final FY13 budget for their state as a general rule-of-thumb, with the limit on Infrastructure mentioned above.

The CAPS program needs a transparent, sustainable, and flexible funding model that is adaptable and predictable in a changing political and financial environment, and one that is based on risk, performance, and/or economics. The CAPS Management Team will be working in this direction in the coming year. Further guidance will be made available as more is known about this process and the FY14 budget.

The present funding formula is simply:

*Infrastructure + Priority Surveys = Total Funds Awarded.*

A state may plan up to, but not over the Total funding amount. Infrastructure funding cannot be greater than the previous year, or as directed by the NOM, but can be less by shifting funding to Survey. The remaining dollars of a state's Total dollar amount are for Survey(s). It is important to only charge to Infrastructure those items that are in accordance to the guidance given in this document, or from guidance given by the NSC and NOM after the publication of this document. As mentioned above, personnel expenses for conducting survey activities should be addressed in the Survey work plans. Survey expenses are not allowed in Infrastructure funding.

An example of this formula is as follows:

| State | Infrastructure    | Priority Survey | Total     |
|-------|-------------------|-----------------|-----------|
| XX    | \$75,000          | \$30,500        | \$105,500 |
|       | Designed Survey 1 | \$20,000        |           |
|       | Bundled Survey 2  | \$10,500        |           |
|       | Total             | \$30,500        |           |

With the change in the Survey Guidelines to include Bundled Surveys, the challenge to the States is to be creative in the planning of surveys and target pests. Pests of State concern should be incorporated into the Priority Surveys. States will use up to 100% of their survey dollars with Priority Surveys in which pests of State concern have been included.

### **Work Plan Submission**

Each state should submit work plans, including detailed financial plans, for the Infrastructure project and each Survey they plan to conduct. Templates for Infrastructure and Survey can be found in Appendix J-1 and J-2, respectively. The combined total funding requested should not exceed the guidance given by the NOM. For 2014, the Survey Summary Form (see Appendix J-3) must be completed online on the [CAPS Resource & Collaboration site](#) (A CAPS R&C login will be required). The Excel spreadsheet used in previous years is obsolete and not necessary. The online Survey



Summary Form must be completed when the work plans are submitted to the SPHD's office. No work plans will be reviewed or approved without a completed online Survey Summary Form. Once the state submits the completed information, the state PPQ office will be required to acknowledge review before it will be reviewed by the NOM. Do not submit an electronic copy of the Summary Form with the work plans. The State's data will be available to Field Operations online. States will not be able to access other state's information. States are strongly encouraged to list State contributions to the survey effort on the Survey Summary Form. This information will assist the Pest Detection Program answer requests and questions from the Agency, Department, and Congress, and prepare future budget requests.

### ADMINISTRATIVE REQUIREMENTS

All cooperative agreements are administered through PPQ Field Operations, and are the means by which funds are provided to each State and cooperator. APHIS is exploring how it may streamline cooperative agreements and while this process is still underway, PPQ has made some changes to the submission of information from potential cooperators and reporting results. To this end, once work plans are signed by the ROAR and ADODR, the ADODR will need to follow the following steps:

- 1) Save the files in the .pdf format.
- 2) Bundle the separate work and financial plans for PD-CAPS into one file\*. For example, if a state is submitting an Infrastructure and two additional Survey work and financial plans they would combine all of these files into one .pdf file.

**\*Please note: Only handle work plans funded by the Pest Detection line item in this manner. Do not bundle work plans that are funded by different line items.**

- 3) The ADODR will then upload the bundled .pdf to the following site ([Field Operations Cooperative Agreements Work Plan Management Site](#)) by clicking the "Upload Workplan" button and following the steps. Once completed, Field Operations will be notified that a work plan has been submitted for review.

Electronic forms may be used and submitted per the guidance of PPQ Field Operations and provided herein. Note that a synopsis of all grants and agreements provided to a cooperator by the Federal government, including APHIS, are now posted on the Internet ([www.USAspending.gov](http://www.USAspending.gov)). This was a requirement of the Federal Funding Accountability and Transparency Act of 2006 (FFATA). Likewise, APHIS is required to report accomplishments via "performance measures" in CAPS. Cooperators will be provided guidance on the means to adhere to this level of transparency.

As required by OMB Circular A102 and 7CFR 3016, and as outlined in Article 4 of the Notice of Cooperative Agreement Award between the Cooperator and USDA-APHIS-PPQ, the Cooperator's designated representative shall submit to APHIS' authorized

representative properly certified semiannual **Federal Financial Report** (FFR) SF-425, no later than 30 days after the end of the second quarter and a final FFR no later than 90 days after the Agreement expires or terminates. Any requests for an extension of time to submit the FFR must be justified and made in writing to APHIS' authorized representative before expiration of the initial 30 or 90 days period allowed for submitting the report. Extensions of time to submit the FFR are subject to the discretion of APHIS' authorized representative and, if allowed, shall be provided by the authorized representative in writing.

Also, as per Article 4 in the Notice of Cooperative Agreement Award, the Cooperator's designated representative shall certify and submit to APHIS' Authorized Representative a semiannual **Accomplishment Report** on activities outlined in the Work Plan and Financial Plan. The reports will be used by APHIS to verify compliance with provisions of this Agreement. They are due no later than 30 days after the end of the second quarter and a final report is due no later than 90 days after the Agreement expires or terminates. Any requests for an extension of time to submit the report must be justified and made in writing to APHIS' authorized representative before expiration of the initial 30 or 90 day period allowed for submitting the report.

The use of the standardized reporting templates for both Infrastructure (Appendix P-1) and Survey (Appendix P-2) are required for 2014 agreements as tools for reporting accomplishments. These standardized templates are a result of NCC working group discussions. The NCC accepted the templates and has required their use.

- 1) ADODRs will need to upload the signed accomplishment reports to the [Field Operations Cooperative Agreements Work Plan Management Site](#). Save the files in the .pdf format.
- 2) Bundle the accomplishment reports for PD-CAPS into one file\*.

**\*Please note: Only accomplishment reports funded by the Pest Detection line item should be handled in this manner. Do not bundle accomplishment reports funded by different line items.**

- 3) The ADODR will then upload the bundled .pdf to the following site ([Field Operations Cooperative Agreements Work Plan Management Site](#)) by clicking the "Upload Accomp Report" button and following the steps. Once completed, Field Operations will be notified that an accomplishment report has been submitted for review.

The CAPS program recognizes the value of supporting the SSC position through Infrastructure funding. Without this support, CAPS, Farm Bill, and other program surveys and projects, including outreach, in the states would not be possible. These activities, however, are not being captured and documented sufficiently to argue in support of continued Infrastructure funding in the face of the apparent numerical inequality between Infrastructure and Survey funding. In an attempt to capture the

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various activities funded under the Infrastructure component, a new reporting section with suggested metrics was added to an updated Appendix P-1 of the 2014 Guidelines. This reporting feature is required for FY14 agreements. It is only through the efforts of the states to report on the various activities carried out in the states under Infrastructure that the CAPS program can document and successfully argue the merits of continued Infrastructure funding.

While the CAPS program is designed to follow the calendar year, an extension of the Cooperative Agreement may be granted if requested by the cooperator, and is supported by the NOM, ADODR, APHIS cooperative agreement officer, and approved by the Executive Director of Field Operations. Extensions requests must provide an explanation/justification for the program delay and will only be granted due to programmatic reasons /extenuating circumstances (e.g., weather delays, problems in hiring of personnel, etc.) and should not be used simply to extend the agreement. Reporting frequency of the accomplishment and financial reports, either quarterly or semiannual, will continue as noted in the Notice of Award.

The SPHD, or their designee, as ADODR of the cooperative agreement shall submit to Field Operations the State's semi-annual and year end reports no later than the 30 or 90 day period allowed for submitting the reports, and include a written summary evaluation. The evaluation should include input from the PSS, and address each funded project in the cooperative agreement. The evaluation depends upon the work plan and must address the funding criteria previously agreed to by the State and the SPHD, and the performance of the State in carrying out the cooperative agreement. A work plan monitoring tool is available to assist in the review of the State's performance. The [CAPS Accountability Report](#) can be accessed through the [CAPS Resource & Collaboration](#) web site. A login is required.

The overall annual process involved in conducting effective CAPS activities is lengthy. It includes identifying pest threats; ranking pest risks; engaging scientists and stakeholders to determine the merits of survey to determine a pests status in the United States; allocating funds for surveys at the State level and for special projects; conducting surveys; analyzing the data collected; writing periodic/annual reports; and evaluating the accomplishment of survey and CAPS program annual objectives. A planning calendar is provided in this document, showing significant milestones including administrative deadlines (Appendix K).

The link to the GPO National Archives and Records Administration website where the CFRs can be reviewed is: <http://www.access.gpo.gov/nara/cfr/cfr-table-search.html>

### **DATA MANAGEMENT**

PPQ policy is to eventually transition all PPQ programs to the Integrated Plant Health Information System (IPHIS). However, there continue to be unresolved issues regarding a protracted process to identify a new contractor, coding, system stability, and usability. Additionally, not all of PPQ's regulatory programs have fully transitioned to IPHIS for

survey, compliance agreements, etc. On May 14, 2012, The CAPS program submitted the CAPS program requirements to the IPHIS Executive Steering Committee for consideration and discussion. Due to the issues listed above, little development work has been accomplished for CAPS since that time. As a result, and given the complexities of the CAPS program, IPHIS cannot fully support the CAPS program. The CAPS Management Team continues to work with the IPHIS staff to assure full CAPS functionality will be provided in IPHIS. The CAPS program has communicated to the IPHIS team that the situation with IPHIS will be reviewed later this year, and a final decision will be made as to data management in 2014 around October 1, 2013. If IPHIS cannot provide the requirements of the CAPS program, then NAPIS will be used for data entry in 2014. This is the likely scenario at the time these Guidelines are published, and the present plan is for all CAPS survey data to be entered into NAPIS for the 2014 field season. The CAPS community will be kept informed, via the NCC and other venues, as to the progress of incorporating CAPS requirements into IPHIS.

### **Negative Data**

The documentation of negative data is extremely important and valuable. Negative data from national surveys support trade and exports, and benefit American agriculture. The CAPS program strives to insure that all negative data is valid, and results from active survey efforts. The CAPS program has developed guidelines to assist in data entry of valid negative data. The [CAPS-Approved Survey Methods](#) can be found in Appendix M. This matrix enables one to determine the appropriate pests that can be considered negative for a survey effort based on the survey methodology, trap/lure combination, etc. Data entry will be checked and validated against the approved survey method for each pest on the Priority Pest List. **Data not conforming to the approved method will not be accepted into the database.**

Additional guidance for data entry is given in Appendix N for selected target pests (*Xyleborus* and *Xylotrechus*, Mollusks, Nematodes, and Phytoplasmas) at the genus and species level. Because of incomplete taxonomy, diagnostic difficulty, lack of survey methodology, or other reasons, some target pests are listed only at the genus level. In certain instances only, it may be appropriate to enter negative data at the genus level. Appendix N provides this guidance. All positive records should be at the species level.

PPQ is striving to assure:

- Survey data and diagnostic results are entered as close to real time as possible, including both positive and negative results;
- Data elements (format, content) are standardized nationally;
- Data will be uploaded into NAPIS as appropriate, and made available per existing protocols in the CAPS program;
- Data management processes and information will be provided nationally.

## **CAPS RECOGNITION**

The National Cooperative Agricultural Pest (CAPS) Program wishes to recognize outstanding activities and achievements by members of the CAPS community, including State Survey Coordinators, Pest Survey Specialists, State Plant Regulatory Officials, and State Plant Health Directors. Individuals or groups (which may include additional cooperators) also will be considered. The purpose of the CAPS Recognition program is to recognize individuals or groups for specific achievements and accomplishments resulting from work done in support of Pest Detection activities in the previous calendar year. A call for nominations will be sent out by the NCC during the first week of January. Nominations will be reviewed by the National CAPS Committee (NCC). Detailed information and the nomination form can be found in Appendix Q.

## **APPENDICES**

**Appendix A Regulatory Significance**

**Appendix B Roles and Responsibilities**

**Appendix C Roles and Responsibilities - Table Format**

**Appendix D Analytic Hierarchy Process (AHP) Prioritized Pest List**  
(from CPHST)

**Appendix E Taxonomic Support & Sample Submission Guidelines**

**Appendix F National CAPS Committee Bylaws & Rotation Schedule**

**Appendix G Priority Pest List for 2013**  
(consists of Commodity Pests and Pests of Economic and Environmental Importance)

**Appendix H Additional Pests of Regulatory Concern for 2013**

**Appendix I Outreach**

**Appendix J Infrastructure and Survey Templates** (with guidance on accessing the Survey Summary Form online interface)

**Appendix K CAPS Timeline**

**Appendix L Data Management Guidance**

**Appendix M CAPS-Approved Survey Methodology for Negative Data**

**Appendix N Data Entry Guides for Selected Taxonomic Groups**

**Appendix O Examples of Bundled Surveys**

**Appendix P Reporting Templates**

**Appendix Q CAPS Recognition**