

**COOPERATIVE AGRICULTURAL PEST SURVEY (CAPS)**  
**2008 NATIONAL GUIDELINES**  
**April 2, 2007**

**PREAMBLE**

The CAPS Program Guidebook, August 11, 2003, was completely revised for 2008 upon consideration of the recommendations of the 1999 Safeguarding Review, the 2006 National Plant Board (NPB) CAPS Advisory Group, and the National CAPS Committee (NCC). The 2008 guidelines provide a new mission statement for CAPS, which was developed by the NPB CAPS Advisory Group and endorsed by the NCC and the Plant Protection and Quarantine (PPQ) Executive Team.

Several changes from fiscal year 2007 are: (1) new procedures to provide greater flexibility for States to choose plant pests for survey; (2) guidance for State-accountability; (3) clarification of roles and responsibilities between PPQ and the States; (4) clarification of the structure of the CAPS committees; (5) clarification of the process of determining priority pests for both the National survey and State-level discretionary surveys; (6) clarification of the use of infrastructure funding; (7) clarification of the use of CAPS funds for outreach; (8) guidance for data management; and (9) a chronological list of milestones for planning, budgeting, and important meetings.

*If you have any concern or suggestions to improve the CAPS program, please contact the National Survey Coordinator at Area Code (301) 734-3769, by correspondence at USDA-APHIS-PPQ, Emergency and Domestic Programs, 4700 River Road, Unit 26, Riverdale, MD 20737, or email the Director of the Pest Detection Program, Dr. Matt Royer, at [Matthew.H.Royer@aphis.usda.gov](mailto:Matthew.H.Royer@aphis.usda.gov), or contact the Regional CAPS Coordinators- Brian Kopper (Eastern Region) by email at [Brian.J.Kopper@aphis.usda.gov](mailto:Brian.J.Kopper@aphis.usda.gov), or Kristian Rondeau (Western Region) by email at [Kristian.C.Rondeau@aphis.usda.gov](mailto:Kristian.C.Rondeau@aphis.usda.gov).*

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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, tribal governments, and Plant Protection and Quarantine (PPQ) personnel 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 Director of the Pest Detection Program, the National Survey Coordinator, PPQ Eastern or Western Regional Survey Coordinators, or PPQ State Plant Health Directors.

## **MISSION**

The mission of the Cooperative Agricultural Pest Survey (CAPS) program is to provide a distribution profile of plant pests in the United States deemed to be of regulatory significance\* to USDA-APHIS-PPQ, State Departments of Agriculture, tribal governments, and cooperators by:

- Confirming the presence or absence of plant pests impacting the domestic and international movement of plants and plant products; 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.*

## **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. While the focus here is primarily on State cooperators, it also extends 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. The National Plant Board (NPB) CAPS Advisory Subgroup recommended several changes to the roles and responsibilities of key personnel involved in the CAPS program, as outlined in the CAPS Program Guidebook, dated August 11, 2003. Several documents are provided herein (Appendices B and C).

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At both the National and State-levels, an organized effort to engage industry early in the survey-planning process is required. This is necessary because the CAPS program will continue to shift its strategy from being “pest-specific”, to surveying for several pests on a “commodity” basis, with few exceptions.

The hosts and commodities impacted by pests span PPQ’s Eastern and Western Regions, 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 State and National CAPS Committees communicate the goals and objectives of the CAPS program. Open dialogue at the national and State level with industry and other key stakeholders is of vital importance for the success of CAPS.

The National CAPS Committee (NCC) will provide the strategy for identifying pests of “national priority”, as well as “State-level” discretionary pest surveys. The NCC will revise the National Guidelines when annually reviewing the policy, strategy, and performance of the CAPS program.

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 and related websites.

The NSC is also the chairperson of the NCC. The NSC, with input from the NCC and NPB, sets plant pest detection priorities and implements survey and detection activities in the United States. The NSC also coordinates communication between the NCC, PPQ Regional Survey Coordinators (RSC), and 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 through the RSCs and to ensure that NAPIS 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 is also responsible for the tracking of programs through performance measures.

The State CAPS Committees (SCC), the PPQ State Plant Health Director (SPHD), and the State Plant Regulatory Official (SPRO) are responsible for the selection of pests that are important to their State. This collaboration will allow flexibility on a State-by-State

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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 resulted in advancing the overall programs effectiveness will support this assessment process.

The SCC will make use of pest risk information from various sources. Such sources include pest data sheets; pest risk assessments; pests ranked through the Analytical Hierarchical Process, as conducted by PPQ's Center for Plant Health Science and Technology (CPHST); "risk zones" and other information communicated to the SPHDs by the RSCs; pests that need to be surveyed per the PPQ Executive Team's endorsement of recommendations of the PPQ New Pest Advisory Group; 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", whenever a PPQ national program coordinator indicates that there is inadequate survey funds to meet national objectives; and select agents that present some threat for potential bioterrorism.

The Eastern and Western Regional CAPS Coordinators (RCCs) will be responsible for reviewing performance and accountability for the *administration* of the CAPS program at the PPQ Regional level. The PPQ Regions supervise the SPHDs, who fiscally and programmatically are accountable for periodic and final CAPS reports. The RCCs communicate programmatic issues to the States through the SPHDs, who ensure fiscal and programmatic accountability by reviewing periodic and year-end reports. The Regional Survey Committees, while no longer formally recognized as playing a role in this process, can convene conference calls, as necessary, to communicate programmatic issues within their respective PPQ Regions.

The National CAPS Committee will annually approve an advanced list of specific pests of national importance based on input by PPQ, States, CPHST (based on pest risk and ranking and information on the feasibility of survey and pest identification for each pest) and commodity organizations. States will select from this list to complete the National Survey portion of CAPS. The SCC, SPHDs, and SPROs will select pests for surveys of State regulatory concern.

## **FUNDING**

The objective of the new approach to funding is to provide a level of transparency in funding allocations, predictability in base funding, and flexibility to adjust survey allocations without negatively impacting infrastructure to CAPS cooperators. Funds to

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support CAPS are generally provided to State departments of agriculture and other cooperators through cooperative agreements, which are administered through the PPQ Regional offices. The annual PPQ Pest Detection “line item” appropriation is the major funding source for CAPS. However, funds from the Pest Detection line item may also be used, in some cases, when programmatic survey activities are inadequately funded through other funding sources and are unable to achieve program objectives. This is particularly true when pests are found that are new to the United States or are found in new areas of the country and PPQ Regional office funds, APHIS Contingency funds, Commodity Credit Corporation funds, or normally appropriated PPQ Emerging Plant Pest funds are inadequate.

The funding allocation process is linked to justifications from each State for infrastructure and proposed surveys to address pests of national and State concern.

## **Infrastructure**

### **Tier 1: up to \$100,000 for base-level funds**

Base-level funding will be made available to every State. Tier 1 funding has been capped at \$100,000 and is intended specifically for maintaining the essential infrastructure needed by the State Survey Coordinator (SSC) position. Base level funding will cover expenses related to salary; benefits/fringe; standard support equipment (including but not limited to: desktop computer, laptop computer, audio-visual equipment, cell phone, etc.); in-state travel (cooperator/industry meetings, outreach, etc.); out of State CAPS related travel (e.g. National CAPS meeting, etc.); and departmental overhead typical for this position.

### **Tier 2: up to 50 percent addition to base level funds**

Base-level funds may be increased up to 50 percent above the approved base-level, provided that the justification is sufficient. Examples of a justifiable increase include:

- When there is a demonstrated need for data management support, which may include part-time salary/benefits for a data management position and associated standard support equipment;
- When additional outreach needs are based on a significant pest threat, such as when a State has a “new pest” of regulatory significance impacting a particular industry where outreach has significant potential for enhancing program delivery; and
- When States have very high cost-of-living expenses and other high overhead expenses. States with higher cost of living expenses could be eligible for this increase if the need is clearly justified by the State cooperative agreements officer, the need is confirmed by the APHIS cooperative agreements officer, and the need is supported by known locality costs as determined by the Federal Government’s pay schedules.

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*Note: maximum possible Infrastructure award: \$150,000. Written proposals for specific surveys must be provided (see next section). Infrastructure costs will be addressed during the formulation of the total budget for each State.*

## **Surveys of National Concern**

Surveys of National Concern are those survey initiatives that have been identified by the National CAPS Committee as being of high priority to merit a national survey effort. In general, national surveys focus on detecting pests in areas in which the presence or absence of particular pests is unknown. Current emergency pest programs, or other pest programs for which survey funds are inadequate, may be appropriately included if approved by the National CAPS Committee, and are listed below. However, these surveys are not intended to intensively delimit the extent of spread of a pest around a specific infestation site. The following are examples of pest programs that are appropriate for conducting a national survey (see the CAPS Web site for further information):

- Commodity-based surveys (Citrus Grove, Soybeans, and Oak);
- Exotic Bark Beetle/ Wood Boring Beetle (EBB/WBB) survey;
- Plum Pox Virus (PPV);
- *Phytophthora ramorum*;
- Nematodes of regulatory concern; and
- Emerald Ash Borer (EAB).

States are eligible for 75 to 100 percent of their survey dollars to support these pests. Further guidance for determining eligibility and amount available to each state will be determined by the National CAPS Committee, with allocation decisions coordinated among the National Survey Coordinator and Regional Survey Coordinators, in consultation with the SPHD and SPRO. For 2008, the list includes 74 pests.

## **Surveys of State Regulatory Concern**

Surveys of State Regulatory Concern are surveys that a State may choose to conduct for pests of regulatory significance within their State. Justification must be provided identifying why these pests are of concern to the State. The State also assures that local/county survey needs are adequately addressed regarding pests of State concern.

Examples of these pests include:

- Any of the pests listed in the prioritized pest lists that are provided each year when setting survey priorities. For 2008, the list of State concern includes 111

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- pests. When combined with the list of 74 pests of National concern, 185 possible pests are available for States to survey at their discretion;
- Pest of phytosanitary significance in interstate commerce;
  - Pests of phytosanitary significance for exports;
  - Pests that otherwise are under “official control.” A process currently is being considered whereby APHIS may recognize the latter category of pests but it is not yet available at the time these guidelines were prepared; and
  - When no Federal pest quarantine regulations are in place, States should try to be consistent in how they carry out pest management measures. Conversely, where Federal requirements are in place, States should have consistent intrastate regulations prepared.

States are eligible for up to 25 percent of their survey dollars to support surveys for pests of State regulatory concern (where the other 75 percent would be used to survey for pests of national concern).

## **Overall funding formula**

*Infrastructure + Surveys of National Concern (minimum of 75 percent of survey dollars)  
+ Surveys of State Concern (up to 25 percent of survey dollars) = total funds awarded.*

For fiscal year (FY) 2008, we will use FY 2006 totals as a general rule-of-thumb, with a few exceptions. Examples of this formula are as follows:

### Example 1:

\$150,000 cooperative agreement:

\$100,000	Tier 1 Infrastructure; \$50,000 available for survey
\$37,500	Surveys of National Concern (75percent of \$50,000)
\$12,500	Surveys of State Regulatory Concern (25 percent of \$50,000)

### Example 2:

\$200,000 cooperative agreement:

\$100,000	Tier 1 Infrastructure
\$25,000	Tier 2 Infrastructure; \$75,000 available for survey
\$56,250	Surveys of National Concern (75 percent of \$75,000)
\$18,750	Surveys of State Regulatory Concern (25 percent of \$75,000)

### Example 3:

\$400,000.00 cooperative agreement:

\$100,000	Tier 1 Infrastructure
\$50,000	Tier 2 Infrastructure; \$250,000 available for survey
\$187,500	Surveys of National Concern (75 percent of \$250,000)
\$62,500	Surveys of State Regulatory Concern (25 percent of \$250,000)

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**ADMINISTRATIVE REQUIREMENTS**

All cooperative agreements are administered through the PPQ Regions, and are the means by which funds are provided to each State and cooperator. APHIS is exploring how it may streamline cooperative agreements, including online electronic forms or other means of expediting the submission of information from potential cooperators, and reporting results. A single system is not yet available at the time these guidelines were prepared; however, electronic forms may be used and submitted per the guidance of the PPQ Regions and provided herein (see CAPS restricted website).

As required by OMB Circular A102 and 7CFR 3016, a final Annual Financial Status Report (SF-269) and a narrative Accomplishment Report must be submitted within 90 days after an annual Cooperative Agreement (funding period) expires. An extension may be granted if requested by the cooperator, supported by the SPHD and APHIS cooperative agreements officer, and approved by the Regional Director. The SPHD may request semiannual or quarterly reports which, if requested, are due within 30 days of the end of the reporting period.

Within 30 days of receiving the State's annual report, the SPHD must submit a written evaluation of the State's performance to the SSC. The evaluation should include input from the PSS. The evaluation depends upon the work plan and must address the funding criteria previously agreed to by the State and the SPHD.

A PPQ/State activity report, in narrative and table form, that lists the different surveys and activities conducted in cooperation with PPQ during the fiscal year must be submitted to the PPQ Region by December 15 of each year. This report will be in template form and requested by each SPHD in November in order to have the information to the RSCs no later than December 15. The information from these reports is consolidated into a national PPQ report (Plant Board Annual Report) and is presented at each of the Regional Plant Board meetings beginning in early February of each year.

By February 1 of each year, the regional offices will submit a CAPS Agreement Allocation Review for the current year to the NSC. The report will be listed by State and include the names for proposed projects, approved projects, amount of funds requested by project, amount of funds approved by project, and the total allocations by project for the previous year.

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

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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 D).

## **DATA MANAGEMENT**

All survey data from Federal cooperative agreements involving pest surveys will be entered into the National Agriculture Pest Information System (NAPIS). NAPIS is the APHIS-PPQ approved repository for all survey data in the CAPS program. The SPHD, or his/her designee, is responsible for assuring data quality.

Each State is responsible for entering complete, accurate, and timely pest survey data into NAPIS using approved protocol. CAPS funds may be used to purchase and maintain the required equipment to ensure this occurs. Some of the data entry requirements are:

- Enter new National, State, and county records into NAPIS database within 48 hours of confirmation of a pest identification by a recognized identifier;
- Non-time sensitive records must be entered into NAPIS within 2 weeks of confirmation;
- Survey data will be collected with GPS technology; and
- Survey maps will be developed from approved GIS mapping software.

The Integrated Survey Information System (ISIS) is currently used in several programs to collect and manage data collected in cooperative survey efforts. It is recommended that this tool be used to collect data from cooperative surveys where possible. In the near future, PPQ's plans, policies, and procedures for full deployment and support of ISIS will be provided (see Appendix E). In the meanwhile, PPQ is striving to assure:

- Survey data and diagnostic results are entered as close to real time as possible, including both positive and negative result;
- 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.

## **APPENDICES**

### **[Appendix A](#) Regulatory Significance**

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[Appendix B](#) Roles and Responsibilities

[Appendix C](#) Roles and Responsibilities- Table Format

[Appendix D](#) Timeline

[Appendix E](#) Data Management