



FY 2022 CAPS Guidelines

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INTRODUCTION

The purpose of these guidelines is to provide direction to the Cooperative Agriculture Pest Survey (CAPS) Program. Specifically, this year's guidelines focus on aligning activities to the new mission and simplifying approaches to organizing activities.

The CAPS program's mission is to conduct exotic plant pest surveys through a national network of cooperators and stakeholders to protect American agriculture and natural resources.

Pathway Approach to Survey

Pathway surveys focus on areas that are at the highest risk for pest introductions because of their proximity or relationship to ports of entry such as wholesale distribution sites, rail yards, warehouses, markets, and other shipping risk points. This approach supports early detection before a pest reaches a potential establishment point. For example, moths listed in the Asian defoliator survey lay eggs on shipping containers and thus the containers should be targeted for surveys. Locations that store shipping containers from Asia are potential high-risk areas for new pest introductions. State CAPS Committees should identify risk points where National Priority Pests may be present.

CAPS Resource and Collaboration Site

Cooperators can find all available resources for submitting work and financial plans at the CAPS Resource and Collaboration website at: <http://caps.ceris.purdue.edu>. The website has two primary areas of interest, the survey tab and the community. Cooperators can access required all areas of the site and individualized training by sending a message requesting access or training to: CAPIS@purdue.edu.

National Priority Pest List

For the fiscal year (FY) 2022 Guidelines, two pests were added to the National Priority Pest List, for a total of 107 pests listed. The Approved Methods for Pest Surveillance pages (<http://caps.ceris.purdue.edu/approved-methods>) contain relevant information about the pests. States should work with their State CAPS Committee to identify targets for survey work.

Host Matrix

The Host Matrix is a tool to build survey pest lists. It contains the National Priority Pests cross-referenced by economically important hosts. The Host Matrix can be searched by 1) pest to find the major hosts of the pest; or 2) host to reveal each pest that causes significant damage to the host. It is publicly available as a searchable online table or a downloadable spreadsheet at: <http://pest.ceris.purdue.edu/services/napisquery/query.php?code=phmatrix>.

National CAPS Committee

The CAPS program is led nationally by the National CAPS Committee (NCC). The NCC is comprised of permanent members from PPQ's Pest Detection Cross Functional Working Group (PD CFWG) and rotating State and Federal members. Details on the structure and membership of the NCC can be found at: <http://caps.ceris.purdue.edu/ncc>.

State CAPS Committee

At the state level, the State CAPS Committee determines and recommends survey priorities for the state. Each State CAPS Committee is led by PPQ's State Plant Health Director (SPHD) and the State

Plant Regulatory Official (SPRO), with support from the Pest Survey Specialist (PSS) and State Survey Coordinator (SSC). The SPHD and SPRO determine appropriate membership and governance of the State CAPS Committee based on pests of concern. CAPS survey plans developed by cooperators should consider the recommendations and advice of the State CAPS Committee and select pests that are important to their State and are in line with survey guidance. This collaboration allows flexibility on a state-by-state basis. The roles and responsibilities of the core constituencies, SPHD, SPRO, PSS, and SSC can be found at: <http://download.ceris.purdue.edu/file/3770>.

Funding for Surveys and Infrastructure

Funds to support CAPS survey and infrastructure are generally provided to State Departments of Agriculture, designated plant health regulatory authorities, Tribes, or universities through cooperative agreements. PPQ Field Operations executes these agreements. The dedicated funding level for CAPS remains consistent with fiscal year (FY) 2021 allocations. For FY 2022, **the maximum possible awards for both survey and infrastructure is the amount that each state received in FY 2021**. For survey infrastructure, a specific written work plan must be provided (separate from survey work plans) as explained in the Work Plan Submission section below.

Survey

CAPS surveys primarily target pests on the National Priority Pest List (<http://caps.ceris.purdue.edu/approved-methods>). Each survey must include one or more National Priority Pests. Survey Names must identify the pathway or crop/host; options are listed at the end of this document. The purpose of CAPS surveys is to focus primarily on surveying for National Priority Pests. To ensure program goals are met, pest lists must contain at least 60% of National Priority Pests. The other 40% can be used for other pests of concern. For example, if a cooperator has 10 pests on a survey work plan at least six pests must be from the National Priority Pest List

The Approved Methods for Pest Surveillance pages (<http://caps.ceris.purdue.edu/approved-methods>) and other resources are available on the CAPS Resource and Collaboration website.

Infrastructure

The infrastructure agreement supports the State Survey Coordinator's (SSC) salary, benefits/fringe, standard support equipment, travel, and departmental overhead typical for this position.

Outreach

The CAPS program encourages cooperators to be creative with outreach to the public. Outreach funded by CAPS should focus on conveying information about National Priority Pests. Cooperators should consider metrics to measure the effectiveness of outreach including, but not limited to, increased access to property for the purpose of survey, proportion of industry visited, and new pest reporting.

CAPS Recognition

The National CAPS Program wishes to recognize outstanding activities and achievements by members of the CAPS community, including SSCs, PSSs, SPROs, and SPHDs.

The purpose of the CAPS recognition program (<http://caps.ceris.purdue.edu/caps-recognition>) 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. The NCC sends out a call for nominations during the first week of January each year. The NCC reviews nominations and determines recognitions to be granted.

FUNDING AND WORK PLANS

The CAPS program supports infrastructure work plans and survey work plans.

Overall Funding Formula

For FY 2022, **the maximum possible awards for both survey and infrastructure is the amount that each state received in FY 2021.** This means the funding formula for federal funds is:

$$\text{Infrastructure} + \text{Survey(s)} = \text{Total Federal Funds (not exceeding FY 2021)}$$

Cooperators **may not** shift funding from Survey to Infrastructure. Any remaining dollars of a state’s total dollar amount are for surveys. Personnel expenses for conducting survey activities should be included in the survey work plans. Survey expenses are not allowed in survey infrastructure work plan or funding. An example of this formula is as follows:

State	Infrastructure	Survey	Total
XX	\$75,000	\$30,000	\$105,000
	Survey 1	\$20,000	
	Survey 2	\$10,000	
	Total	\$30,000	

Work Plan Submission

Starting with FY 2022 work plans, the use of the online work plan interface is required for CAPS Survey and Infrastructure work plans. The FY 2022 CAPS Survey Summary Form and Online Work Plan Interface will open on August 2. Details on how to complete these items are available on the CAPS Resource and Collaboration website (<http://caps.ceris.purdue.edu/home>) in the Work Plan Process for CAPS Surveys document (<http://caps.ceris.purdue.edu/pest-surveillance-guidelines/2022>). Signed work plans are due to the PPQ Agreements SharePoint site by September 10, 2021.

Work Plan Options

Infrastructure work plans must be submitted as separate work plans from Survey. States continue to have the flexibility of combining their CAPS Surveys into one combined work and financial plan or elect to submit separate work plans for each Survey. A combined work and financial plan is preferred, as it reduces administrative burdens on both the state and federal sides. See an Example of a Combined Survey Work Plan at: <http://download.ceris.purdue.edu/file/3969>. Regardless of whether a state pursues a Combined Survey work plan or individual work plans, the State Survey Coordinator (SSC) must fill out each survey with accompanying target pests separately in the Survey Summary Form. This will aid in reporting of program performance measures.

Out-of-state travel

Out-of-state travel for the SSC (or other state cooperators) is capped at \$3,000 per year and must be used for CAPS-specific meetings that the individual attends in their role as the state CAPS representative (e.g., Regional Plant Board meeting). These costs must be captured in the Infrastructure Work Plan. It is strongly encouraged that travel to the Regional Plant Board Meeting be incorporated into the Financial Plan.

In-state travel

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 the CAPS mission. Travel expenses for survey are not allowed in infrastructure funding.

Supplies and Equipment

Cooperators making supply and equipment requests must demonstrate that CAPS survey work is directly supported by the requests. Equipment requests, such as computer workstations and phone lines, should only support the SSC's work needs. Additionally, cooperators and PPQ should work together to balance needs and replacement timeframes carefully. CAPS participants (federal and state) must be good stewards of taxpayer dollars.

Contractual Costs

Depending on the type of activity, some contractual items listed in the Financial Form must be detailed and described in an additional Contractual Financial Form. For clarification, if the cost is something simple like rent or paying for the identification of samples, the separate Contractual Financial Plan is not needed. When funds are received by one entity and passed through to another to perform all or a significant portion of the work, the Contractual Financial Plan is needed to document the specific costs. For an example Financial and Contractual Form, see the Financial Plan Template at: <http://caps.ceris.purdue.edu/pest-surveillance-guidelines/2022>. See Contractual Costs in the Financial Plan for examples.

Cooperator Cost Share

The CAPS program encourages states to leverage cost shares to enhance federal funding in the cooperative agreement. If a cooperator chooses to enter a cost share amount on the financial forms, then they must adhere to guidance governing that cost share, and the amount should match the SF-425 at the end of the agreement.

Survey Supplies

PPQ provides survey supplies (traps, lures, and accessories) for National Priority Pests surveyed through CAPS or PPA Goal 1 Surveys. There are two open periods for ordering supplies each year. The fall open period is for CAPS and PPQ survey supplies. The winter ordering period is for PPA Goal 1 Survey supplies and any remaining items needed for the survey season. Questions should be directed to the Pest Detection National Operations Manager of the cooperator's state, that is, Darrell Bays (darrell.a.bays@usda.gov) for Central and Southern Plant Board states or Lisa Jackson (lisa.d.jackson@usda.gov) for Eastern and Western Plant Board states. Survey supplies for non-priority pests should be included in the financial plans and not in the survey supplies orders.

Preliminary Identification

There is no guarantee that taxonomic assistance will be available for all targets. Therefore, it is the responsibility of the cooperator to confirm that taxonomic arrangements for preliminary pest identification assistance are in place before work plans are submitted. Also, the cooperator is responsible for confirming that an identifier or institution that they have used previously is available to continue providing taxonomic support for the proposed targets each year.

If assistance is needed in finding an identifier or institution to provide preliminary identification for a target (**Priority Pests only**), please contact the Preliminary ID National Operations Manager for Pest

Detection - Darrell Bays (darrell.a.bays@usda.gov). For other pest programs, reach out to the respective Pest Program National Operations Manager.

ADMINISTRATIVE REQUIREMENTS

All cooperative agreements are administered through PPQ Field Operations.

ezFedGrants is used to process all cooperative agreements. The ezFedGrants External Portal Homepage can be accessed by entering 'grants.fms.usda.gov' into a web browser. Cooperators respond to an opportunity established by the PPQ Agreements Staff. This information is communicated to the cooperator and enables the cooperator to find the opportunity in ezFedGrants.

The following aids are available on the ezFedGrants page (<http://caps.ceris.purdue.edu/pest-surveillance-guidelines/ezfedgrants>) of the CAPS Resource and Collaboration website:

- ezFedGrants Access (<http://caps.ceris.purdue.edu/pest-surveillance-guidelines/ezfedgrants-access/2019>)
- Application Management (<http://caps.ceris.purdue.edu/pest-surveillance-guidelines/ezfedgrants-application-management/2019>)
- Submitting Claims and Reports (<http://caps.ceris.purdue.edu/pest-surveillance-guidelines/submitting-claims-reports/2019>)
- Internal Program Manager User Guide (<http://caps.ceris.purdue.edu/pest-surveillance-guidelines/ezfedgrants-internal-user-guide/2019>)
- External User Guide (<http://caps.ceris.purdue.edu/pest-surveillance-guidelines/ezfedgrants-external-user-guide/2019>)

Job aids are located at:

<https://www.nfc.usda.gov/FSS/ClientServices/ezFedGrants/index.php>.

As outlined in the Notice of Award between the Cooperator and USDA-APHIS- PPQ, the Cooperator's designated representative shall submit a 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 120 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 120-day 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 the Notice of Award, the Cooperator's designated representative shall certify and submit to APHIS' Authorized Representative a semiannual **Accomplishment Report** on activities outlined in the work and financial plans. The reports are 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 120 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 120-day period allowed for submitting the report.

The use of the standardized Infrastructure Report Template (<https://caps.ceris.purdue.edu/pest-surveillance-guidelines/infrastructure-report-template/2021>) and Survey Report Template

(<https://caps.ceris.purdue.edu/pest-surveillance-guidelines/survey-report-template/2021>) are **required** for all agreements as tools for reporting accomplishments.

- 1) Depending on the reporting cycle, the cooperator will upload the Federal Financial Report and Accomplishment Report to ezFedGrants.
- 2) The Authorized Departmental Officer's Designated Representative (ADODR), upon notification that an accomplishment report has been submitted, reviews it through the ezFedGrants system.
- 3) The ADODR should refer to the CAPS Accountability Report (<https://caps.ceris.purdue.edu/caps-accountability-report>) on the CAPS Resource and Collaboration website before signing off on the final Accomplishment Report to ensure the Accountability Report matches the information in the Survey Summary Form, and data was entered into the National Agriculture Pest Information System (NAPIS). It is the indicator of the fulfillment of the cooperative agreement.

A one time, no cost extension of the Cooperative Agreement may be granted for up to one year if requested by the cooperator before the expiration date, if it is supported by the ADODR and PPQ Agreements Specialist and approved by the PPQ Field Operations Associate Executive Director. Extension requests must provide an explanation/justification for the program delay and are only 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. The request needs to be submitted no later than 10 days prior to the expiration of the agreement. Reporting frequency of the accomplishment and financial reports, either quarterly or semiannually, will continue as noted in the Notice of Award.

The ADODR of the cooperative agreement shall submit the Closeout/Evaluation Report to the PPQ Agreements Specialist no later than the 120-day period allowed for submitting the reports. The evaluation should include input from the Pest Survey Specialist 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 Cooperator and the ADODR and the performance of the Cooperator in carrying out the goals of the agreement. The CAPS Accountability Report (<https://caps.ceris.purdue.edu/caps-accountability-report>), a work plan monitoring tool, is available to assist in the review of the State's performance. Cooperators must use a log in to access these tools at the CAPS Resource and Collaboration website.

The link to the Notice of Award Terms and Conditions can be found at:

https://www.aphis.usda.gov/aphis/ourfocus/business-services/financial-management-division/financial_services_branch/agreements_service_center/terms-conditions-for-aphis-awards.

DATA MANAGEMENT

The National Agricultural Pest Information System (NAPIS) (<https://napis.ceris.purdue.edu/home>) is the final repository for all Pest Detection and CAPS survey results. Surveys for National Priority Pests must use the Approved Methods for Pest Surveillance. The NAPIS database can be accessed at: <https://napis.ceris.purdue.edu/>. A system login is required and can be obtained from capsis@purdue.edu.

Information about data entry can be found in the following documents:

- Data Entry Roles and Responsibilities (<http://caps.ceris.purdue.edu/pest-surveillance->

- [guidelines/data-entry-roles-responsibilities/2021](https://caps.ceris.purdue.edu/guidelines/data-entry-roles-responsibilities/2021))
- Data Entry Guides for Selected Taxonomic Groups (<https://caps.ceris.purdue.edu/pest-surveillance-guidelines/data-entry-guides-selected-taxonomic-groups/2021>)

Negative Data

The CAPS program has developed guidelines to assist in data entry of valid negative data. Valid negative data for national priority pests is defined as negative results from surveys using the pest's approved method. Valid negative data for pests of state concern is defined as negative results of surveys using a method likely to find the pest. The Approved Methodology for Negative Data document (<https://caps.ceris.purdue.edu/pest-surveillance-guidelines/approved-methodology-negative-data/2021>) helps to determine the appropriate pests that can be considered negative for a survey effort based on the survey methodology, trap/lure combination, or other factors. Data entry will be checked and validated against the approved survey method for each pest on the Priority Pest List.

Data for national priority pests not conforming to the approved method will not be accepted into NAPIS.

Additional guidance for data entry is given in Data Entry Guides for Selected Taxonomic Groups (<https://caps.ceris.purdue.edu/pest-surveillance-guidelines/data-entry-guides-selected-taxonomic-groups/2021>) for selected target pests at the genus and species level. All positive records should be at the species level.

APPENDIX

Survey Names

The following survey names should be selected and be relevant to the host or pest targeted.

Survey Names	
Asian Defoliator Survey	Oak Commodity Survey
Citrus Commodity Survey	Orchard Commodity Survey
Corn Commodity Survey	Palm Commodity Survey
Cotton Commodity Survey	Pine Commodity Survey
Cyst Nematode Survey	Pulse Crops Pest Survey
Exotic Buprestid (Cerceris) Survey	Rice Pest Survey
Exotic Wood Borer/Bark Beetle Survey	Small Grains Commodity Survey
Field Crops Pest Survey	Solanaceous Commodity Survey
Forest Pest Survey	Soybean Commodity Survey
Fruit Crops Pest Survey	Specialty Crops Pest Survey
General Nematode Survey	Stone Fruit Commodity Survey
Grape Commodity Survey	Terrestrial Mollusk Survey
Greenhouse Crops Pest Survey	Tree Fruit Pest Survey
Legume Pest Survey	Tree Nursery Pest Survey
Mollusk Survey	Tropical Hosts Commodity Survey
Nursery and Retail Plants Pest Survey	Vegetable Crops Pest Survey
Nut Pest Survey	