

# **Procedures of the Center for Tropical and Subtropical Aquaculture**

(Revised April 2004 and  
incorporating addendums A from June 2004 and B from January 2005)

**In cooperation with**



# 2004 Procedures of the Center for Tropical and Subtropical Aquaculture

(Revised April 2004)

The Center for Tropical and Subtropical Aquaculture  
Waimanalo and Honolulu

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# Introduction

## Background

A strong U.S. aquaculture industry offers significant economic and social benefits to both the nation and the world. Domestic aquaculture can meet the increased demand for fisheries products, conserve ocean resources, and lessen U.S. dependence on imported ocean products. A partnership between federal government agencies, state and local public institutions, and the private sector can achieve enhanced aquaculture development.

In Title XIV of the Agriculture and Food Act of 1980 and in the Food Security Act of 1985, Congress saw the opportunity to make significant progress in the development of aquaculture and authorized the establishment of aquaculture research, development, and demonstration centers in the United States (Subtitle L, Sec. 1475 [d]). Considered by Congress as the vehicle for the U.S. Department of Agriculture (USDA) to implement the National Aquaculture Development Plan, Subtitle L appropriated \$3 million in 1987 to establish and fund five regional aquaculture centers.

The centers, located in Hawaii, Massachusetts, Michigan, Mississippi, and Washington, coordinate institutional resources and industry needs to fulfill their mission to support aquaculture research, development, demonstration, and extension education to enhance viable and profitable U.S. aquaculture. The centers are associated with colleges and universities, state departments of agriculture, federal facilities, and non-profit private research institutions. The five centers fund and oversee cooperative research, development, and demonstration projects that directly address the concerns of industry in their regions.

## Center for Tropical and Subtropical Aquaculture

The Center for Tropical and Subtropical Aquaculture was created to spark the development of commercial aquaculture of tropical and subtropical species. Unlike the other centers, which work within a defined geographical region, the CTSA “region” encompasses tropical and subtropical species wherever they are cultured within the United States and the U.S.-affiliated Pacific islands (American Samoa, Commonwealth of the Northern Mariana Islands, Federated States of Micronesia, Guam, Hawaii, Republic of Palau, and the Republic of the Marshall Islands.) Research projects span the American Insular Pacific, focusing on developing an aquaculture industry using commercially viable tropical and subtropical species.

## National Coordinating Council

The National Coordinating Council of the Regional Aquaculture Centers comprises the directors of the five centers and representatives from the USDA. The Council is responsible for general communication and coordination between the centers and the USDA and serves as a liaison with the Federal Joint Subcommittee on Aquaculture. The Council also provides a link for the development of high-priority interregional projects of national importance.



# Organizational Structure

CTSA is jointly administered by the Oceanic Institute and the University of Hawaii. The Oceanic Institute has fiscal and administrative responsibilities for CTSA operation. CTSA's main office is currently located at the Oceanic Institute. CTSA also has a Publications and Information Office at the University of Hawaii at Manoa. An Executive Committee is responsible for administrative policy and functions of CTSA. Responsibility for oversight of CTSA's industry development plans, policies, and programs resides with the Board of Directors. The Industry Advisory Council (IAC) and the Technical Committee (TC) advise the Board of Directors on all aspects of Center operation. An Executive Director manages the CTSA Administrative Center and oversees daily activities to ensure effective and efficient program operation and achievement of desired results.

## Board of Directors

The Board of Directors is responsible for oversight of CTSA's industry development plans, policies, and programs, including concurrence on the allocation of the available annual budget. The Board of Directors is also responsible for development of ancillary agreements with other agencies and institutions.

The Board is composed of the Executive Director plus nine voting members. The Executive Director is allowed to vote only in case of a tie. The voting members correspond to the following positions:

1. University of Hawaii President or President's Appointee who will serve as the Board Chair and conduct all Board meetings
2. The Oceanic Institute President or President's Appointee who will serve as the Executive Committee Chair
3. Manager, Aquaculture Development Program, Hawaii State Department of Agriculture
4. Director, Sea Grant College Program, University of Hawaii
5. Dean, College of Natural and Applied Sciences, University of Guam
6. Dean, College of Tropical Agriculture and Human Resources, University of Hawaii
7. Director, College of Micronesia Land Grant Programs (Palau, Marshall Islands, and the FSM states: Yap, Chuuk, Pohnpei, and Kosrae)
8. Chair, CTSA IAC
9. Chair, CTSA TC

The Board of Directors:

- provides oversight for regional program development, execution and management;
- appoints and removes individuals to the IAC and TC;
- approves the proposed duties and membership of the IAC and TC;
- approves the proposed strategy for project selection;
- approves the Annual Plan of Work, including budget allocations;
- approves the Annual Accomplishment Report for consistency with the goals and objectives of CTSA and the authorizing legislation; and
- directs the Executive Director to respond to its information needs.

## Executive Committee

The Executive Committee (EC) of the Board of Directors is comprised of the two members who are appointed by the presidents of the University of Hawaii and the Oceanic Institute. The Executive Committee is responsible for making the final decisions on administrative policy, budget, and procedures of CTSA. It also appoints the Executive Director of CTSA.

## Executive Director

The Executive Director (ED) is responsible for overall management and coordination of the CTSA program and is appointed by the EC based on recommendations from the Board of Directors.

The Executive Director will develop and execute the annual CTSA program through the following actions.

### Program Development:

- manage the program development process to ensure timely development of a quality research program;
- develop and nurture personal contacts with members of the industry, regional government agencies, and research institutions throughout the region;
- serve as ex-officio member of the IAC and TC, responsible for preparing agenda and minutes of meetings and providing independent advice and counsel;
- serve as ex-officio member and executive secretary to the Board of Directors, responsible for preparing agenda and minutes of meetings and providing independent advice and counsel;
- augment the list of priority areas as needed and with approval from the Board of Directors, and directs no more than 20% of available program funds to these areas;
- request pre-proposals and full proposals based on recommendations from the IAC and TC;
- select reviewers and coordinates reviews of proposals for technical and scientific merit, feasibility, and applicability to priority areas;
- perform other duties as necessary;

### Program Execution:

- manage program execution for quality, timeliness, and fiscal integrity;
- prepare contracts with principal investigators to transfer funds for implementation of approved projects;
- monitor project activities sponsored by CTSA;
- enforce policies and procedures, follow up on progress of projects, and ensures technology transfer is effectively carried out;
- recommend to the Board of Directors, following input from the IAC and TC, necessary action up to and including termination of a project in cases of poor performance;
- perform other duties as necessary;

#### Program Management and Administration:

- ensure efficient and effective program management and administration;
- coordinate and facilitate interactions among CTSA, Board of Directors, IAC, TC, industry, and principal investigators (PIs);
- prepare CTSA summary budgets, annual plans of work, and CTSA progress reports as required under the grants;
- maintain relationship with other Regional Aquaculture Centers;
- serve as a member of the National Coordinating Council for the Regional Aquaculture Centers in conjunction with directors of other regional centers and USDA representatives; and
- perform other duties as necessary.

### Industry Advisory Council

A principal characteristic of the Regional Aquaculture Centers (RAC) is that it is guided by industry concerns and after consultation with appropriate technical experts, responds with a program of directed research that targets priorities established by members of the industry. To assure that this focus on industry needs is maintained, CTSA's charter specifies creation of an IAC to provide an open forum through which those involved in the business of aquaculture can provide comments, suggestions, and advice. With the approval of the Board of Directors, the contributions of the IAC can be incorporated into annual and ongoing plans for CTSA.

#### The IAC:

- reports the status and needs of aquaculture development in their represented region or field of interest and expertise;
- recommends and ranks, according to perceived importance to industry expansion, research and development needs each year;
- reviews pre-proposals to determine if they address the appropriate problem;
- annually elects a chair from its eligible membership to conduct the annual IAC meeting, present recommendations regarding proposals to the Board based on reviewers' comments, and serve as a voting member on the Board of Directors; and
- assigns members to serve as industry liaisons for each project. Liaisons will monitor progress through quarterly project updates and other reports from the project PIs. Liaisons will collaborate with project PIs to report on the progress of projects at the annual meeting.

The Board of Directors appoints individuals to the IAC for three-year terms. When an individual is nominated for IAC membership, their resume must be submitted to the CTSA Director within 30 days of the date of nomination. The Executive Director and IAC Chair review the nominees' qualifications for consistency with the guidelines. Only those nominees who meet the guidelines are recommended to the Board of Directors for confirmation. IAC members who do not participate in meetings or other functions of the Council for a period of two years may be removed by a vote of the Board of Directors.

The guidelines for selecting IAC members are listed below.

1. The IAC will have no more than 20 members.
2. Ten members are nominated to represent major aquaculture industry sectors relevant to the region. Members are expected to supply their special expertise to the development situations throughout the regions. For example, these sectors could include marine foodfish, freshwater foodfish, marine ornamentals, freshwater ornamentals, marine shrimp, seaweed, black-lip pearl oysters, and so forth. The Board of Directors will decide on which sectors should be represented, in consultation with the Executive Director and upon review of periodic assessments of industry status in the region and national and global aquaculture in general. At the end of a member's term, the Board of Directors can select a new sector to be represented or keep the same sector.
3. Ten members are nominated to represent current political entities. These members can be private-sector aquaculturists or government officials. To assure that the IAC has representation from all political entities in CTSA's geographical region, four members of the IAC should be from Hawaii and one each from Guam, the Federated States of Micronesia, American Samoa, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, and the Republic of Palau. To help achieve this, Board members should nominate individuals from their region (i.e., Pacific Island Board members should nominate IAC members from the Pacific Islands and Hawaii Board members should nominate IAC members from Hawaii).
4. Determined effort must be made to ensure that as many private sector commercial aquaculture producers as possible are represented. Members from this sector must compose a simple majority of the Council's total membership of 20.
5. Generally, IAC members can serve for no more than two consecutive terms. However, if certain members are active participants and are willing to continue serving beyond the two consecutive terms, then the Board has the authority to reappoint them. The Board bases all reappointment decisions largely on a member's past participation in the duties of the IAC. The membership balance outlined above must be maintained when making appointments to replace IAC members.

## Technical Committee (TC)

The primary function of the TC is to evaluate the scientific merit of the pre-proposals submitted to CTSA. Identification of individuals with a scientific background who are knowledgeable in the scientific method, experimental design, and aquaculture-related disciplines and species who can assess the merit of proposed research approaches is critical. The TC is composed of representatives from participating research institutions, state extension services, other state or territorial public agencies, and non-profit private institutions.

The TC functions as follows:

- develops problem statements for the priority areas selected and identified by the IAC. The Request for Pre-proposals is based on these problem statements;
- reviews and assesses the research approach of the pre-proposals as to adequacy in addressing the priority problem areas selected and identified by the IAC;
- ensures that the proposed research does not duplicate previous research and develops new and novel results for application by the industry;

- submits recommendations to the Executive Director regarding which pre-proposals adequately address the priority areas selected and identified by the IAC;
- evaluates the annual progress of funded projects and comments on research direction and results; and
- annually elects a chair from its eligible membership to conduct the annual TC meeting and serve as a voting member on the Board of Directors.

The Board of Directors appoints individuals to the TC for two-year terms. When an individual is nominated for TC membership, their resume or CV must be submitted to the CTSA Director within 30 days of the date of nomination. The Executive Director and TC Chair review the nominee's qualifications for consistency with the guidelines. Only those nominees who meet the guidelines are recommended to the Board of Directors for confirmation. TC members who do not participate in meetings or other functions of the Committee for a period of one year may be removed by a vote of the Board of Directors.

The guidelines for selecting TC members are listed below.

1. The TC will have no more than 20 members.
2. Members of the TC will be public and private sector researchers and extension personnel from throughout CTSA's region.
3. Members must possess technical and scientific knowledge in the scientific method, experimental design, and aquaculture-related disciplines and species.
4. Members must not seek funding support from CTSA during the period they serve on the TC. However, individuals with ongoing projects may serve on the TC provided they do not seek funding for new projects during their term.
5. To ensure that the TC can fully assist the IAC to evaluate and select the best pre-proposals, additional experts can be invited to the annual TC meeting based on the content of the pre-proposals for the year. These experts need not be from within the CTSA region.
6. Each member can be reappointed for an indefinite number of terms as long as their area of expertise applies to one of the year's priority areas.



# Conflict of Interest Policy

The Center for Tropical and Subtropical Aquaculture upholds basic guidelines to guard against conflicts of interest which could compromise the integrity and objectivity of the Center. CTSA strives to integrate individual and institutional expertise and resources in support of regional commercial aquaculture development in an effective and impartial manner. While participants are selected from various industries, organizations, and governments, all participants of the CTSA process must remain objective and represent the best interests of the region. Participants will excuse themselves from any activity or process where their objectivity cannot be guaranteed.

## Board of Directors

Board members are expected to conduct their duties in a fair and impartial way to the best of their professional abilities. It is recognized that Board members may have a management affiliation with institutions and or PIs seeking CTSA research and development funding. When a proposal comes before the Board, Board members shall openly declare any relationship to it that may give the appearance of a conflict of interest. Members with such relationships are prohibited from promoting, advocating, or voting for the proposal.

## Executive Director

The Executive Director is expected to conduct his or her duties in a fair and impartial way to the best of his or her professional abilities. The Executive Director represents CTSA and is therefore responsible for promoting regional commercial aquaculture development. He or she bases decisions on what will best benefit the region and not on any personal preferences. The Executive Director does not represent CTSA's host institution, which currently is the Oceanic Institute (OI). The Executive Director does not speak for OI nor will he or she say or do anything that will grant unfair advantage to OI, or any other organization.

The Executive Director selects reviewers based on the individual's area of expertise and absence of conflicts of interest. Furthermore, each reviewer is asked to disclose any affiliation or financial connection with the institution or the person submitting the proposal that might be construed as a conflict of interest. If unable to remain objective, the reviewer is asked to decline the request.

## Industry Advisory Council

IAC members are expected to conduct their duties in a fair and impartial way to the best of their professional abilities. The IAC recommends and ranks research and development needs of the region. It is recognized that IAC members may submit suggestions for research and development or collaborate with others who submit such suggestions. When a concept or pre-proposal comes before the IAC, IAC members shall openly declare any relationship to it that may give the appearance of a conflict of interest. Members with such relationships are prohibited from voting for the pre-proposal if another pre-proposal

has been submitted for the same research and development area. IAC members must also follow agreed upon criteria to evaluate concepts and pre-proposals.

## Technical Committee

TC members are expected to conduct their duties in a fair and impartial way to the best of their professional abilities. The TC reviews the research approach of each pre-proposal and selects those with technical merit for further development. Members must not seek funding support from CTSA during the period they serve on the TC. However, individuals with ongoing projects may serve on the TC provided they do not seek funding for new projects during their term.

It is recognized that TC members may be co-PIs or collaborators with PIs seeking CTSA research and development funding. When a pre-proposal comes before the TC, TC members shall openly declare any relationship to it that may give the appearance of a conflict of interest. Members with such relationships are prohibited from promoting, advocating, or voting for the pre-proposal.

# Project Development

## Overview

Each year, the U.S. Department of Agriculture's Cooperative State Research, Education, and Extension Service (USDA/CSREES) provides CTSA's operating grant. This grant is budgeted to cover all administrative costs in addition to funding the individual projects included in the Annual Plan of Work. Every year, CTSA is required to set aside \$25,000 from the operating grant to serve as a rapid response fund. If this money is not used by the end of the year, then it can be included in the following year's budget.

## Solicitation of Proposals

Each year, CTSA accepts suggestions or concepts for funding priorities from industry members and researchers. During its annual meeting, the IAC identifies and ranks these general and specific priority areas according to their importance to the aquaculture industry throughout the region. The TC develops problem statements for each of these priority areas. The Executive Director calls for pre-proposals based on these problem statements which address the priority issues and problem areas as selected by the IAC. Interested individuals or groups who do not have the ability or resources to conduct research are encouraged to ask researchers to submit pre-proposals on their behalf. If necessary, the TC Chair or the CTSA Administrative Center can help these individuals or groups find and contact qualified researchers. According to the document, "Essentials of a National Aquaculture Regional Development Program," prepared by the USDA Science and Education Work Group on Aquaculture at the time of the establishment of the Regional Aquaculture Centers, all projects must be executed by universities or community colleges and non-profit research institutions or organizations. Private individuals or individuals in commercial companies or consulting companies may not be the PI or lead for a project, but may be sub-contractors. The main experiment or main project activities should be conducted at a university, community college, or non-profit research institution to ensure that the site will be easily accessible for technology transfer. Detailed instructions for preparing project pre-proposals are given in Appendix A.

After pre-proposals have been submitted, the TC reviews the technical merit of each pre-proposal and the IAC reviews the pre-proposals to ensure that they address the priority areas. The following are some examples of criteria currently recommended by the IAC and TC.

The project:

- addresses a problem of fundamental importance to tropical and subtropical aquaculture as identified by the IAC:
  - will have or has the potential to benefit the entire region;
  - will benefit an existing industry that is very significant to the region or will create a new industry if more information is available;
  - addresses an area with no available information in published literature;
- is scientifically sound;
- involves qualified personnel with access to adequate facilities;
- includes a technology transfer component that follows the direction of the IAC;

- involves participation by individuals with different areas of expertise. When possible, these individuals should represent different political entities or institutions within the region;
- can be made specific enough to provide significant accomplishment within three years;
- will complement and enhance ongoing extension and research activities as well as potentially expand these programs;
- will improve the research capabilities and competitiveness of the researcher who will then likely be able to attract additional support from other funding agencies.

The Executive Director then forms a preliminary Plan of Work from those pre-proposals that gain approval from the TC and that address the IAC's priorities. The budget determines the number of pre-proposals that can be considered. The IAC's priorities and ranking will determine importance of each pre-proposal. The TC also reviews estimated budget and intended outputs. Once the final set of pre-proposals has been determined, the Executive Director requests full proposals from the submitters of the selected pre-proposals.

Although CTSA highly recommends the multi-institutional approach, submitters of selected pre-proposals addressing similar areas of research may choose to either collaborate or compete. If they choose to collaborate, the groups work together to submit a single proposal. If they choose to compete, the groups submit separate proposals, and based on the comments of the review panel, only one is chosen. In both situations, a PI must be selected to be responsible for coordinating the overall proposal and if the proposal is approved, be responsible for the whole project. The PI is expected to confer with his or her immediate administrator or director on feasibility of participation and commitment of resources and facilities to the project and provide a written statement as part of the full proposal that the resources and facilities are available for the project.

All proposals should have objectives that can be accomplished within a given time frame and should be completed within a term of no longer than three years. If a high priority industry concern persists for longer than three years, a new project with a modified name and new, finite, measurable objectives should be proposed. CTSA grants funding for only one year at a time. Funding for future years depends on continued relevance to the industry, project performance, and technical viability of the succeeding proposal.

Detailed instructions for preparing project proposals are given in Appendix B. Proposals that do not meet these guidelines are not sent for review. Submitters are also informed of any administrative shortcomings, and those that are corrected in the time allotted will advance.

## Review and Approval of the Project Proposal

Each proposal undergoes a rigorous review and approval process. The Executive Director develops lists of qualified and impartial peer reviewers for the proposals. Proposals for projects along with the review form (Appendix C) are sent to three or more reviewers. CTSA continues to solicit reviews from the reviewers until at least three are received.

The Executive Director summarizes the reviews and ranks proposals based upon established guidelines. Summary and rankings are given to the IAC Chair for presentation to the Board. In the event that the IAC Chair recommends deviation from reviewer ranking, he or she will need to provide written justification

and receive specific Board approval. The Board of Directors, based on the IAC Chair's recommendation and its own discretion, votes to approve proposals for inclusion in the Annual Plan of Work.

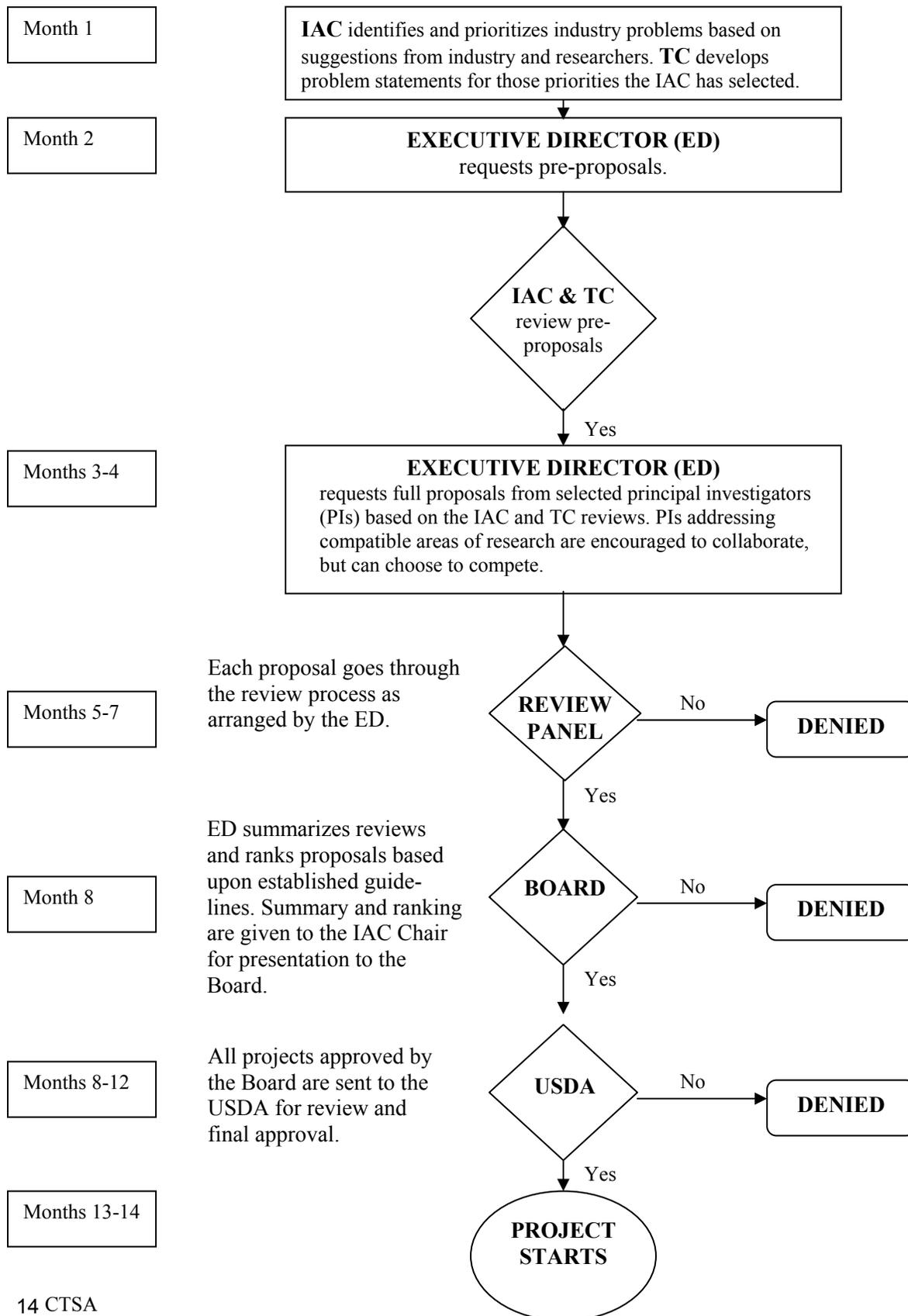
## Annual Plan of Work

The Executive Director compiles all the necessary components to complete the Annual Plan of Work, including the Executive Committee's signatures. In addition to the proposals, the Annual Plan of Work includes the following:

- brief overview of each project,
- implementation plan,
- summary budget,
- description of the review and selection process for proposals,
- summary of the process used to identify and invite institutions to participate in projects, and
- description of the Plan's compatibility with regional priorities and the National Aquaculture Development Plan.

The Executive Director submits the Annual Plan of Work to USDA/CSREES, which holds the right of final approval either in part or in its entirety.

## Project Development Flow Chart



# Project Implementation and Management

## Overview

After receiving USDA/CSREES approval, the Executive Director notifies the Board of Directors and the PIs of each project about the approved level of funding for each participating institution and agency. The Executive Director forwards a draft contract to the PI at the lead institution, who then forwards it to the appropriate fiscal representatives at his/her institution for review. Following this review, a final contract is signed between the lead institution and CTSA. The lead institution executes all further subcontracts. Subcontracts also include the following forms for signature:

- *Certificate Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion* (Appendix D)
- *Assurance Statement* (Appendix E)
- *Certification of Nonsegregated Facilities* (Appendix F)
- *Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions* (Appendix G)
- *Disclosure of Lobbying Activities* (Appendix H)

PIs are expected to initiate work on a project in a timely manner. However, if they want to begin their project before the USDA has approved it, then they need to seek approval from CTSA. They must also understand that anything they do before USDA approval has been obtained will be done at their own risk.

## Project Billing

Projects are funded on a reimbursement basis. CTSA provides each PI with a *Request for Reimbursement* form, which must be submitted to CTSA on a monthly or quarterly basis. The request must be submitted within one month following the period. Any request that does not follow this procedure will be forwarded to the Board of Directors for action. CTSA reserves the right to not process any reimbursement that covers a period of four months or longer. All project bills must be submitted on this form, along with all receipts for any item in which billing totals more than \$100. Bills submitted on other forms or without required receipts will not be paid. Reimbursement of expenses is withheld if progress or travel reports are not submitted. CTSA reserves the right to withhold the final reimbursement until the final report has been submitted. Accountability of expenditures is the responsibility of each participating institution.

## No-Cost Budget Reallocations

Project participants should prepare accurate budgets and work to ensure that expenditures within each budget category remain within the amount budgeted for that category (such as salaries, equipment, travel, and so forth). If necessary, a PI may submit a memo to the Executive Director to request a transfer of funds from one category to another. The request for such a transfer should be made before the money is spent and should fully explain the reason for the transfer. The Executive Director processes requests based on merit. CTSA reserves the right to deny the request and not process the reimbursement.

Reallocations should not adversely affect the quality and timeliness of the expected results from the project. Reallocations are not allowed to accommodate work that is not within the scope of the original project proposal.

## No-Cost Extensions of Time

PIs are expected to complete the work on a project within the proposed time frame. To ensure that results are provided to the industry in a timely manner, CTSA discourages requests for no-cost extensions. If necessary, PIs can use a grace period of up to six months. If they decide to use this grace period, they must notify the Executive Director before the project's original end date. A six-month no-cost extension in addition to the six-month grace period will be granted only under exceptional circumstances. This request must be addressed to the Board of Directors and be submitted either in time for one of its meetings or before the end of the grace period, whichever occurs first. Including the no-cost extension, the total duration of each project cannot extend beyond one year of the originally proposed end under any circumstance.

## Other Revisions

Requests for all other major project revisions should be communicated in writing to the Executive Director. If there has been a change in project personnel, the Executive Director should be notified only if it involves the PI. If the PI wishes to change the scope of the project for any reason, then he or she must request and receive approval from the Executive Director, Board of Directors, and the USDA. If the PI wishes to alter the project's approach, then he or she must request and receive approval from the Executive Director.

## Reports

Prompt reporting is the responsibility of the PIs. If a PI fails to submit reports as scheduled, then reimbursements of expenses are withheld until the reports are received. The PIs' requests for future funding will also be denied if they have any outstanding reports. If the PI fails to make any progress or to report any progress, then the project may be terminated. Reports are evaluated by the Executive Director and the IAC liaisons. The Executive Director will send reminders to the PIs before reports are due. A copy of the reminders will also be sent to the PIs' respective institutional administrative authority.

PIs are required to submit one mid-term status report and one annual progress report each year for each active project. PIs must also keep their projects' IAC liaison informed on a quarterly basis via e-mail, telephone, written, or in person communication.

### Mid-Term Status Report

Due Date: May 31

Reporting Period: Project commencement date through April 30

The mid-term status report format and requirements are given in Appendix I.

Annual Progress Report

Due Date: November 1  
 Reporting Period: Project commencement date through September 30

This report provides CTSA with information needed to complete its Annual Accomplishment Report, due to USDA/CSREES at the end of each year. Therefore, the report should cover the entire duration of the project. Progress reports should summarize accomplishments, progress in terms of achieving stated objectives, changes in project design or procedures, and budget expenditures. Conciseness is encouraged and all detailed information should be included as an appendix. The progress report format and requirements are given in Appendix J.

Project Update Presentation

Date: at the annual IAC meeting  
 Reporting Period: it should cover a period of one year from the time of the previous year's meeting to the time of the present year's meeting

The presentations should be approximately 10–15 minutes long and should be done in collaboration with the IAC liaison. If the PI is unavailable to give the presentation, he or she should prepare the IAC liaison to give the presentation alone. The outline of the presentation should simply be by project objective.

Final Report

Due Date: Within 60 days after the end of the project  
 Reporting Period: Project commencement date through completion

This report should summarize the findings and accomplishments for each objective for the entire duration of the project. If the end of the project coincides with the November progress report, then the PI can choose to either submit the final report in November, or submit a progress report in November and submit a more complete final report within 60 days. The final report format and requirements are given in Appendix K.

Travel Report

Due Date: Within 30 days following the event  
 Reporting Period: Duration of the event

To ensure that expenditure of all funds directly responds to the needs of industry, CTSA requires that those attending scientific meetings, workshops, or seminars with CTSA funding share the results of their trip with the aquaculture community in the CTSA region. This can be either a written summary or an oral presentation given at a local public meeting such as a meeting of the Hawaii Aquaculture Association. The written summary should be provided to the Executive Director within 30 days following the scientific meeting. It should be no longer than 1,500 words written in a narrative style that can be easily understood by a non-scientific audience. At the Executive Director's discretion, the summary will then be modified, edited, and distributed to industry members either as an independent document or as an article in the CTSA newsletter, *Regional Notes*.

## Technology Transfer

CTSA is both research oriented and industry driven thereby promoting a useful combination of research and outreach in its projects. Technology transfer is an essential component of every project, and the IAC

is responsible for specifying how it should be accomplished for each priority area. Most projects will include publications and or workshops as technology transfer deliverables.

#### Publication of Results

The PI must see that the findings of CTSA projects are promptly published as manuals, information sheets, extension bulletins, CTSA reports, technical papers in scientific journals, articles in the CTSA quarterly newsletter, *Regional Notes*, videos, or other media.

CTSA's Publications Policy is attached as Appendix L. All publications must credit not only the PI, but also CTSA and USDA/CSREES. Technical papers and station bulletins may be published by individual participating institutions and other agencies with acknowledgment of the CTSA project and the USDA/CSREES grant under which the research was conducted. Any news releases that are prepared should be sent to the Executive Director for review and approval before release.

PIs are encouraged to present information, progress, and results from their projects in the *Regional Notes*. This newsletter also includes information on CTSA activities and meetings, profiles of CTSA members, information on other regional aquaculture activities, and news about aquaculture industry and research activities involving tropical and subtropical species. The *Regional Notes* is published four times per year.

#### Workshops

For certain projects, PIs are expected to organize workshops. These workshops can be simple informational meetings, organized training sessions, or whatever is considered appropriate for the project. The goal is to provide the greatest benefit to the aquaculture industry in the CTSA region. CTSA and USDA/CSREES must be acknowledged at all workshops.

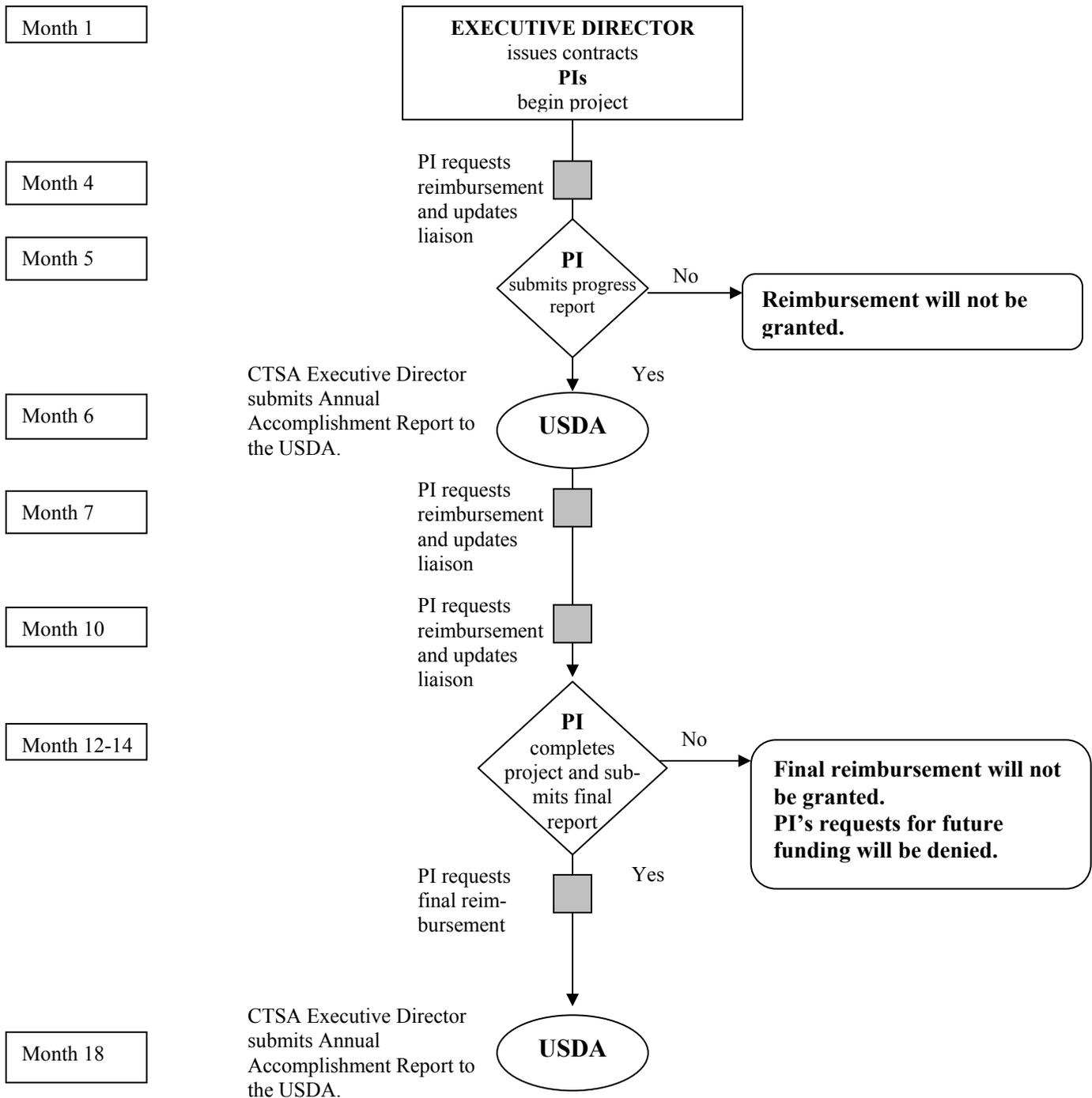
## Multi-Year Projects

Projects that are proposed for a period of over one year are subject to annual reviews by the IAC and TC. The overall project performance is scrutinized to determine if it should proceed. Continuation of a project is based on availability of funds, continued relevance to the industry and a satisfactory review. Funding for subsequent years will not be released until the previous year's project objectives and financial report have been completed.

## Project Performance

Poor performance, such as the inability to complete objectives as proposed, late submission of reports, poor quality of reports, poor communication with members of the relevant industry sector, and other shortcomings, negatively affect a PI's chances of obtaining future CTSA funding. Likewise, meeting responsibilities and good performance are also considered when making decisions regarding the funding of future projects.

## Project Implementation Flow Chart





# Appendix A: Pre-proposal Format

Pre-proposals should follow the format described below and be no more than two pages (single-spaced, 10–12 pt. font).

## Title of Project

## Problem Statement

Briefly explain the need for the project.

## Objectives

Clearly define and number realistic objectives that will answer the questions and produce the desired deliverables as outlined by the IAC.

## Approach

Describe the procedures and facilities that will be used to accomplish the objectives.

## Duration

State the time needed to accomplish the objectives.

## Estimated Budget

Estimate the funding needed to accomplish the objectives. Provide the estimates in dollars per year. The IAC assigned funding levels (low, medium, and high) to the priority areas, and if the estimated budget exceeds the assigned level, then please provide justification.

## Suggested Project Work Group Members

List individuals by name and affiliation who would be able to carry out the objectives. Project work groups should involve participation by individuals with different areas of expertise. When possible, these individuals should represent different political entities or institutions within the region.



# Appendix B: Proposal Guidelines

## CTSA Proposal Guidelines

The Principal Investigator (PI) must submit five hard copies of the proposal and one electronic copy of the proposal saved on a labeled computer disk. The proposal must contain the following sections in the order given and follow the formatting instructions given below. **CTSA reserves the right to reject proposals that are incomplete or not in the proper format.**

|                           |  |
|---------------------------|--|
| Word Processing Software: | Microsoft Word or WordPerfect                    |
| Title:                    | 24 pt Arial font, bold, centered                 |
| Body of Text:             | 12 pt Times New Roman font, full justification   |
| Margins:                  | top 1", left side 1.25", right and bottom 0.5"   |
| Section Headings:         | 16 pt Arial font, bold, centered                 |
| Sub-headings:             | 12 pt Arial font, bold, italicized, left aligned |

### Title Page

Title

(should be a brief, clear, specific designation of the research subject.)

For continuing projects, project year should be included such as Year 2, Year 3, etc.)

By

Principal Investigator  
Name of Institution

Submitted to the  
Center for Tropical and Subtropical Aquaculture

Date of submission: Month Date, Year

### Executive Summary

This section should be a brief summary of the proposed project's background (an explanation of the problem and its current status), project focus (what part of the problem the project will address), research approach (how the problem will be solved), and anticipated benefits (what successful completion of the project will mean for the aquaculture industry). The names of key project work group members, their institutions, and their main responsibilities for the project should also be listed here. Other than the PI(s), key members should include individuals who will receive more than 50% of their salary from project funds. This section should be no more than two pages.

If the PI will need more than one year to solve the problem, the PI must indicate this in the proposal.

## Objectives

In this section, the PI should clearly present the project's overall goals and a list of specific, numbered, and realistic objectives followed by detailed deliverables. For continuing projects, or projects proposed to last more than one year, the specific objectives and deliverables for future years should also be clearly stated. However, proposals are approved for one year only; approval for subsequent years is based on availability of funds, continued relevance to the industry, and a satisfactory review of the project's progress.

Proposals must include a technology transfer objective, under which the PI will organize workshops, prepare publications, or devise other means for effectively conveying information.

## Background and Justification

This section should include a literature review of relevant work that has already been done on the subject or related subjects. This does not have to be limited to published research, but can and should include preliminary work done by the PI or any other relevant information. The PI must also explain why this project is needed and what it will do to benefit the industry. All continuing projects must include a summary of the principal accomplishments for each previous year of funding and justification for continued funding. The review panel will carefully consider the project's progress in previous years in its overall evaluation of the proposal.

## Work Statement and Schedule

### ***Work Statement***

The PI should restate each objective exactly as it was listed in the Objectives section and then explain the rationale for the approach and the proposed method to achieve the objective. The location of where the work will be done and the personnel, facilities, and equipment required should be indicated for each objective. The work statement should reflect careful planning and provide flexibility to allow for changes if they become necessary during the course of work. This section should also explain how progress toward objectives will be measured. For example, milestones can be used to represent significant, measurable progress or major accomplishments such as the completion of a product or phase of work. If the PI anticipates collaboration with another funding source, he or she must explain which objectives or which portion of an objective the other funding source will be supporting.

### **Example:**

**Objective #:** \_\_\_\_\_

**Rationale:** brief explanation that justifies the proposed approach.

**Method:** detailed experimental design or approach, statistical evaluation etc.

**Responsible personnel:** key project members responsible for completion of the objective.

**Other funding (if applicable):** explanation of what costs or percentage of costs for various activities etc. that other funding sources will be responsible for.

### **Schedule**

A schedule that integrates all project objectives on a common time table should be included in this section.

**Example (other similar formats are acceptable):**

| Objectives | 2004 |     |     |     |     |     | 2005 |     |     |     |     |     |     |     |     |
|------------|------|-----|-----|-----|-----|-----|------|-----|-----|-----|-----|-----|-----|-----|-----|
|            | Jul  | Aug | Sep | Oct | Nov | Dec | Jan  | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep |
| 1. _____   |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| a          |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| b          |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| 2. _____   |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| a          |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| b          |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| 3. _____   |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| workshops  |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| article    |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| manual     |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| Reports    |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| Progress   |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |
| Final      |      |     |     |     |     |     |      |     |     |     |     |     |     |     |     |

For continuing projects, the PI should include all of the above for future years in as much detail as possible while recognizing that future work will depend upon the results of work done in preceding years. However, it is important for the PI to sufficiently describe the approach for reviewers to determine if the proposed methods are scientifically sound and appropriate.

(Whenever a material change in the objectives of the project becomes advisable, a new or revised schedule must be prepared and submitted to the CTSA Executive Director)

## **Budget**

An overall project budget should be included in this section. Per section 1473 of Public Law 95-113, indirect costs are not allowed on any portion of the proposal budget. The budget should be in table format indicating a detailed budget breakdown. Budget categories must be in accordance with those given on form CSREES-2004 (12/2000).

**Example:**

| <b>Category</b>                                  | <b>CTSA Funding</b> | <b>Other Funding and Source</b> |
|--|---------------------|---------------------------------|
| Salaries   |                     |                                 |
| Fringe Benefits (only if charged as direct cost) |                     |                                 |
| Total Salaries and Fringe Benefits               |                     |                                 |
| Equipment  |                     |                                 |
| Materials and supplies                           |                     |                                 |
| Travel   |                     |                                 |
| Publication costs                                |                     |                                 |
| Outside services                                 |                     |                                 |
| All other direct costs                           |                     |                                 |
| Total  |                     |                                 |

### Budget Justification

This section must include justification for each item in the budget in as much detail as possible. If the budget exceeds the IAC-assigned levels of funding (i.e., high: \$75–100K, medium: \$35–75K, and low: ≤ \$35K), justification should be provided here.

### USDA Budget Sheet (Form CSREES-2004)

A disk containing the template of this form in Microsoft Excel and a hardcopy sample is provided to the PI. The PI should insert the figures in the appropriate columns and rows. Excel will automatically calculate the figures. The PI should save the file as an Excel spreadsheet on the disk and print five copies for inclusion with the hard copies of the proposal. If a PI does not have access to Excel, he or she can compose the budget in another spreadsheet program that is compatible with Excel.

### Literature Cited

Literature citations may be listed at the end of the project proposal.

### Resumes

A resume no longer than two pages for each PI and or associate named in the project must be included. The resume should include name and contact information, education, positions, memberships in scientific and professional organizations, and selected publications. The publications section should only list publications relevant to the current proposal, starting with the most recent. **Publications extending beyond the two-page resume limit will be deleted.**

## **Current and Pending Support**

A Microsoft Word copy of this form will be provided on the same disk with the CSREES-2005 (12/2000) form. The PI should fill in the form, save it on the disk, and print five copies for inclusion with the hard copies of the proposal.

## **Institutional Approval Form**

A Microsoft Word copy of this form will be provided on the same disk with the CSREES-2004 form. The PI should fill in the form, print it out, obtain the appropriate signatures, and make five copies for inclusion with the hard copies of the proposal.



# Appendix C: Review Form for CTSA Proposals

This review consists of two parts: comments and a point system. Please provide comments for each of the five sections as well as a numerical score. In conclusion, please finish the review by giving each proposal an overall rating (ranging from excellent to poor) and a total score (by adding up the points for each section for a maximum of 100 points). This should give us an indication of which proposal you would recommend out of the two that were submitted. Please attach additional pages if needed.

**Title of the Proposal:** \_\_\_\_\_  
\_\_\_\_\_

**Name of Reviewer:** \_\_\_\_\_

1. **Objectives:** Are the objectives specific and achievable in the proposed time frame? Do these objectives sufficiently address the problem statement (see attached)?

On a scale of 1 to 5, how would you rate these Objectives?\*

2. **Background & Justification:** Does the proposal describe the importance of the problem or opportunity toward industry development in the region? Is there a need for a multi-year project and if so, is it sufficiently justified?

On a scale of 1 to 5, how would you rate the Background and Justification?\*

3. **Work Statement & Schedule:** Is the proposal technically sound? Is the schedule sufficiently detailed to determine if the objectives can be achieved? Is the Principal Investigator qualified to accomplish the objectives?

On a scale of 1 to 5, how would you rate the Work Statement and Schedule?\*

\* 1 = poor, 2 = fair, 3 = good, 4 = very good, 5 = excellent

4. **Budget:** Is the budget sufficiently justified and adequate to complete the objectives of the proposal?

On a scale of 1 to 5, how would you rate the budget?\*

\_\_\_\_\_

5. **Overall Rating:** (Circle One)      Poor      Fair      Good      Very Good      Excellent

**Total Score:** (out of 20)

\_\_\_\_\_

\* 1 = poor, 2 = fair, 3 = good, 4 = very good, 5 = excellent

**Additional Comments:**

# Appendix D: Certificate Regarding Debarment ([www.csrees.usda.gov](http://www.csrees.usda.gov))

## U.S. DEPARTMENT OF AGRICULTURE

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### Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions

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#### Instructions for Certification

1. By signing and submitting this form, the prospective lower tier participant is providing the certification set out on the reverse side in accordance with these instructions.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms “covered transaction,” “debarred,” “suspended,” “ineligible,” “lower tier covered transaction,” “participant,” “person,” “primary covered transaction,” “principal,” “proposal,” and “voluntarily excluded,” as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this form that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this form that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction,” without modification, in all lower tier covered transaction and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

## U.S. DEPARTMENT OF AGRICULTURE

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### Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

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This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 7 CFR part 3017, Section 3017.510, Participants' responsibilities. The regulations were published as Part IV of the January 30, 1989, Federal Register (pages 4722-4733). Copies of the regulations may be obtained by contacting the Department of Agriculture agency with which this transaction originated.

#### (BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS)

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

---

Organization Name

PR/Award Number or Project Name

---

Name(s) and Title(s) of Authorized Representative(s)

---

Signature(s)

Date

# Appendix E: Assurance Statement (www.csrees.usda.gov)

UNITED STATES DEPARTMENT OF AGRICULTURE  
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE  
**ASSURANCE STATEMENT(S)**

OMB approved 0524-0039

STATEMENT OF POLICY – Institutions receiving CSREES funding for research are responsible for protecting human subjects, providing humane treatment of animals, and monitoring use of recombinant DNA. To provide for adequate discharge of this responsibility, CSREES policy requires an assurance by the institution's Authorized

Organizational Representative (AOR) that appropriate committees in each institution have carried out the initial reviews of protocol and will conduct continuing reviews of supported projects. CSREES also requires AOR certification by citing a timely date that an appropriate committee issued an approval or exemption.

NOTE: Check appropriate statements, supplying additional information when necessary.

|                |   |
|----------------|---|
| 1. INSTITUTION | 2. CSREES PROJECT NUMBER OR AWARD NUMBER (if known) |
|                | 3. PROJECT DIRECTOR(S)                              |

**4. TITLE OF PROJECT**

**A. BIOSAFETY OF RECOMBINANT DNA**

- Project does not involve recombinant DNA
- Project involves recombinant DNA and was either approved ( ) or determined to be exempt ( ) from the NIH Guidelines by an Institutional Biosafety Committee (IBC) on \_\_\_\_\_(Date).

This performing organization agrees to assume primary responsibility for complying with both the intent and procedures of the National Institutes of Health (NIH), DHHS Guidelines for Research Involving Recombinant DNA Molecules, as revised.

**B. CARE AND USE OF ANIMALS**

- Project does not involve vertebrate animals.
- Project involves vertebrate animals and was approved by the Institutional Animal Care and Use Committee (IACUC) on \_\_\_\_\_(Date).

This performing organization agrees to assume primary responsibility for complying with the Animal Welfare Act (7 USC, 2131-2156), Public Law 89-544, 1996, as amended, and the regulations promulgated thereunder by the Secretary of Agriculture in 9 CFR Parts 1, 2, 3, and 4. In the case of domesticated farm animals housed under farm conditions, the institution shall adhere to the principles stated in the Guide for the Care and Use of Agricultural Animals in Agricultural Research and Teaching, Federation of Animal Science Societies, 1999.

**C. PROTECTION OF HUMAN SUBJECTS**

- Project does not involve human subjects.
- Project involves human subjects and
  - Was approved by the Institutional Review Board (IRB) on \_\_\_\_\_(Date). Performing Institution holds a Federalwide assurance number \_\_\_\_\_; if not, a Single Project Assurance is required.
  - Is exempt based on exemption number \_\_\_\_\_.
  - Specific plans involving human subjects depend upon completion of survey instruments, prior animal studies, or development of material or procedures. No human subjects will be involved in research until approved by the IRB and a revised Form CSREES-2008 is submitted.

This performing organization agrees to assume primary responsibility for complying with the Federal Policy for Protection of Human Subjects as set forth in 45 CFR Part 46, 1991, as amended, and USDA regulations set forth in 7 CFR 1c, 1992. All nonexempt research involving human subjects must be approved and under continuing review by an IRB. If the performing organization submits a Single Project Assurance, supplemental information describing procedures to protect subjects from risks is required.

|   |       |      |
|---|-------|------|
| SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE | TITLE | DATE |
|---|-------|------|

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0524-0039. The time required to complete this information collection is estimated to average .50 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

CSREES-2008 (12/02/00)



# Appendix F: Certification of Nonsegregated Facilities



## Certification of Nonsegregated Facilities (FAR 52.222-21) (April 1984)

- a. "Segregated facilities," as used in this provision, means any waiting rooms, work areas, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees, that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion or national origin because of habit, local custom, or otherwise.
- b. By the submission of this offer, the offeror certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control where segregated facilities are maintained. The offeror agrees that a breach of this certification is a violation of the Equal Opportunity clause in the contract.
- c. The offeror further agrees that (except where it has obtained identical certifications from proposed subcontractors for specific time periods) it will:
  1. Obtain identical certifications from proposed subcontractors before the award of subcontracts under which the subcontractor will be subject to the Equal Opportunity clause;
  2. Retain the certifications in the files; and
  3. Forward the following notice to the proposed subcontractors (except if the proposed subcontractors have submitted identical certifications for specific time periods):

### Notice to Prospective Subcontractors of Requirement for Certifications of Nonsegregated Facilities

A Certification of Non segregated Facilities must be submitted before the award of a subcontract under which the subcontractor will be subject to the Equal Opportunity clause. The certification may be submitted either for each subcontract or for all subcontracts during a period (e.g., quarterly, semiannually, or annually).

**Note: The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.**

(End of provision)

|   |
|---|
| <p><b>ORGANIZATION NAME:</b> _____</p> <p><b>NAME &amp; TITLE OF<br/>AUTHORIZED REPRESENTATIVE:</b> _____</p> <p><b>SIGNATURE:</b> _____ <b>DATE:</b> _____</p> |
|---|



# Appendix G: Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions



## Certification and Disclosure Regarding Payments to Influence Certain Federal Transactions (FAR 52.203-11) (April 1991)

- a. The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.
- b. The Offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989:
  - 1. No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement;
  - 2. If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee or a Member of Congress on his or her behalf in connection with this solicitation, the Offeror shall complete and submit, with its offer, OMB standard form LLL, *Disclosure of Lobbying Activities*, to the Contracting Officer, and
  - 3. He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.
- c. Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by Section 1352, Title 31, United States Code. Any person who makes an expenditure prohibited under this provision shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

(End of provision)

|   |
|---|
| <b>ORGANIZATION NAME:</b> _____                             |
| <b>NAME &amp; TITLE OF AUTHORIZED REPRESENTATIVE:</b> _____ |
| <b>SIGNATURE:</b> _____ <b>DATE:</b> _____                  |



# Appendix H: Disclosure of Lobbying Activities

## UNITED STATES DEPARTMENT OF AGRICULTURE COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE

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### NOTICE TO APPLICANTS - CERTIFICATION/DISCLOSURE REQUIREMENTS RELATED TO LOBBYING

---

Section 319 of Public Law 101-121 (31 U.S.C.), signed into law on October 23, 1989, imposes new prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans. Certain provisions of the law also apply to Federal commitments for loan guarantees and insurance; however, it provides exemptions for Indian tribes and tribal organizations.

Effective December 23, 1989, current and prospective recipients (and their subtier contractors and/or subgrantees) will be prohibited from using Federal funds, other than profits from a Federal contract, for lobbying Congress or any Federal agency in connection with the award of a particular contract, grant, cooperative agreement or loan. In addition, for each award action in excess of \$100,000 (or \$150,000 for loans) on or after December 23, 1989, the law requires recipients and their subtier contractors and/or subgrantees to: (1) certify that they have neither used nor will use any appropriated funds for payment to lobbyists; (2) disclose the name, address, payment details, and purpose of any agreements with lobbyists whom recipients or their subtier contractors or subgrantees will pay with profits or **nonappropriated** funds on or after December 23, 1989; and (3) file quarterly updates about the use of lobbyists if materials changes occur in their use. The law establishes civil penalties for noncompliance.

If you are a current recipient of funding or have an application, proposal, or bid pending as of December 23, 1989, the law will have the following immediate consequences for you:

- . You are prohibited from using appropriated funds (other than profits from Federal contracts) on or after December 23, 1989, for lobbying Congress or any Federal agency in connection with a particular contract, grant, cooperative agreement, or loan;
- . You are required to execute the attached certification at the time of submission of an application or before any action in excess of \$100,000 is awarded; and
- . You will be required to complete the lobbying disclosure form if the disclosure requirements apply to you.

Regulations implementing Section 319 of Public Law 101-121 have been published as an Interim Final Rule by the Office of Management and Budget as Part III of the February 26, 1990, **Federal Register** (pages 6736-6746).

**UNITED STATES DEPARTMENT OF AGRICULTURE  
COOPERATIVE STATE RESEARCH, EDUCATION, AND EXTENSION SERVICE**

**CERTIFICATION REGARDING LOBBYING - CONTRACTS, GRANTS, LOANS  
AND COOPERATIVE AGREEMENTS**

|  |  |
|--|--|
| <p>The undersigned certifies, to the best of his or her knowledge and belief, that:</p> <p>(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement;</p> <p>(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in</p> | <p>connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;</p> <p>(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.</p> <p>This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p> |
|--|--|

Organization Name

Award Number or Project Name

Name and Title of Authorized Representative

Signature

Date

# Appendix I: Mid-term Status Report Format

Project Title:

Grant #:

Principal Investigator:

Reporting Period:

Budget Balance:

Project status (by objective, in the same order as in the approved proposal):

Challenges encountered:



# Appendix J: Annual Progress Report Format

An executive summary will be written and submitted on November 1 of each year the project is active. It should summarize all accomplishments, progress toward achieving stated objectives, changes in project design and procedures, and budget expenditures for the entire duration of the project (**since initiation**). The content will be used to prepare the CTSA Annual Accomplishment Report due to the USDA. The report should cover activities of the project from its commencement date to one month prior to the due date of the report (September 30). For example, if the project start date was July 1, 2002, the reporting period would be July 1, 2002 to September 30, 2002. If the project continued for a second year, then the reporting period for the second year would be from July 1, 2002 to September 30, 2003.

**The report must be submitted both as a hard copy and as a Microsoft Word or WordPerfect document saved on a computer diskette or sent via e-mail.** Reports must be limited to 10 pages or less, excluding publications, which are to be appended to the reports. Please limit special formatting to a minimum, as text will be reformatted. The reports must be written in a narrative style, and figures, graphs, or tables should be included as appendices or separate files, as appropriate. Details should also be included in appendices. The report must be in the following format:

## Project

Title and contract number.

## Reporting Period

Dates covered by the report (see comments above).

## Funding Level

Total funding allocated to the project to date.

## Participants

List the names and affiliations of all the project work group members, including collaborators who did not receive funding.

## Executive Summary

Provide a concise summary of the importance of the overall goal, the status, the accomplishments, and the next work planned for the project.

## Objectives

List all the objectives for the project.

## Anticipated Benefits

State how the project will directly or indirectly benefit the aquaculture industry.

## Work Progress and Principal Accomplishments

Each objective, in the same order as in the proposal, should be the heading for each section, with a concise summary of the entire project work group's activities toward accomplishing that objective since the commencement of the project. Measurement data are to be given in metric units. However, to minimize confusion, a dual system of measurement may be used to express research results. Where the research has not progressed to the stage of accomplishments, a **brief** description may be given of the activities of the project work group and the nature and progress of the work of the participants. Details, such as the process used to reach the end result, should be included as an appendix.

## Work Planned

Provide an outline of the work planned for the next period.

## Impacts

State how the findings have been or may be used to benefit industry development, citing specific examples where possible. Whenever possible, include an estimate of the positive economic impact — in US dollars — the project will have on the aquaculture industry. Estimates of acceptance and application of results and of any economic values inherent in or accruing from these results will be helpful in enlisting economic support for research (statements from this section may be used in budget hearings and news releases).

## Support

Use the format in the table below to indicate CTSA/USDA funding and any additional support provided for the project. Indicate the name of the sources of other support as a column heading (for example, replace "University" with "University of Guam"). Support should include such things as salary for a project collaborator, use of facilities, etc.

| Year         | CTSA /<br>USDA<br>CSREES<br>Funds | Other Support        |          |                  |       |                | Total<br>Support |
|--------------|-----------------------------------|----------------------|----------|------------------|-------|----------------|------------------|
|              |                                   | University<br>(Name) | Industry | Other<br>Federal | Other | Total<br>Other |                  |
|              |                                   |                      |          |                  |       |                |                  |
|              |                                   |                      |          |                  |       |                |                  |
| <b>Total</b> |                                   |                      |          |                  |       |                |                  |

### Publications, Manuscripts, or Papers Issued, Approved, or Presented

List the titles of publications produced for the project that have actually appeared in print during the reporting period. Provide an appendix with the following subheadings: *Publications in Print*, *Manuscripts*, and *Papers Presented*. Under each subheading, list the appropriate entry in alphabetical order by the author's last name, including journal articles, extension materials, videos, technical reports, theses, and dissertations. Each entry should follow the format of the *Journal of the World Aquaculture Society*. In addition, five copies of each entry that has not previously been submitted to the administrative center must be included.

### Closing

Each report must end with the signature of the Project Work Group Chair and the date, as shown below.

### Approved

\_\_\_\_\_

Chair, Project Work Group

\_\_\_\_\_

Date



# Appendix K: Final Report Format

A final report must be submitted when the project has been completed. The final report should cover the entire period that the project was active (including no-cost extensions). Four signed hard copies and an electronic copy in either Microsoft Word or WordPerfect of the report must be received by the CTSA Administrative Office no later than 60 days following the end of the project year. Please limit special formatting to a minimum, as text will be reformatted. The reports must be written in a narrative style, and figures, graphs, or tables should be included as appendices or separate files, as appropriate. Details should also be included in appendices. The report must be in the following format:

## Project

Title and contract number.

## Project Period

Provide the beginning and ending dates of the project, including extensions. For multi-year projects, note the beginning and ending dates of each year.

## Funding Level

Total funding allocated to the project.

## Participants

List the names and affiliations of all the project work group members, including collaborators who did not receive funding.

## Executive Summary

Provide a concise summary of the importance, the overall goal, the accomplishments, the impact, and the future prospects of the project.

## Objectives

List all the objectives for the project.

## Principal Accomplishments

Each objective, in the same order as in the proposal, should be the heading for each section, with a concise summary of the entire project work group’s activities from the beginning to the end of the project year, including any extension periods, toward accomplishing that objective. Measurement data are to be given in metric units. However, to minimize confusion, a dual system of measurement may be used to express research results. Explain how the progress was measured. Details, such as the process used to reach the end result, should be included as an appendix.

## Impacts

State how the findings have been or may be used to benefit industry development, citing specific examples where possible. Whenever possible, document the economic value, in dollar value, that this project has/will have on the aquaculture industry. Explain what measurable economic benefits have resulted/will result from the successful achievement of the project’s objectives.

## Recommended Follow-Up Activities

State concisely how future studies may be structured.

## Support

Use the format in the following table below to indicate CTSA/USDA funding and any additional support provided for the project. Indicate the name of the sources of other support as a column heading (for example, replace “University” with “University of Guam”). Support should include such things as salary for a project collaborator, use of facilities, etc.

| Year         | CTSA /<br>USDA<br>CSREES<br>Funds | Other Support        |          |                  |       |                | Total<br>Support |
|--------------|-----------------------------------|----------------------|----------|------------------|-------|----------------|------------------|
|              |                                   | University<br>(Name) | Industry | Other<br>Federal | Other | Total<br>Other |                  |
|              |                                   |                      |          |                  |       |                |                  |
|              |                                   |                      |          |                  |       |                |                  |
| <b>Total</b> |                                   |                      |          |                  |       |                |                  |

## Publications and Manuscripts Written and Papers Presented

List the titles of publications produced for the project that have actually appeared in print during the project. Provide an appendix with the following subheadings: *Publications in Print*, *Manuscripts*, and *Papers Presented*. Under each subheading, list the appropriate entry in alphabetical order by the author’s last name, including journal articles, extension materials, videos, technical reports, theses, and

dissertations. Each entry should follow the format of the *Journal of the World Aquaculture Society*. In addition, five copies of each entry that has not previously been submitted to the administrative center must be included.

## Closing

Each report must end with the signature of the Project Work Group Chair and the date, as shown below.

## Approved

\_\_\_\_\_

Chair, Project Work Group

\_\_\_\_\_

Date



# Appendix L: Publication Policy

There are several different types of Regional Aquaculture Center (RAC)-generated outputs that are hereafter referred to as publications. These include written documents, videos and CD-ROMs. Requests for any RAC-generated publication should be handled in the most expeditious means possible.

**All RAC-generated publications must acknowledge USDA/CSREES as the source of funding, and the CSREES shield (logo) should be prominently displayed on the publication. For publications that are not RAC-generated, but were funded in whole or in part by RAC monies (e.g., refereed journal article), the individual RAC and CSREES should be acknowledged. An example for funding acknowledgment is as follows:**

**Funding was provided by the Center for Tropical and Subtropical Aquaculture through Grant number xx-xxxxx-xxxx from the U.S. Department of Agriculture Cooperative State, Research, Education, and Extension Service.**

## I. Written Publications

1. Principal Investigator
  - a. PI should discuss publication of extension bulletins, extension fact sheets or special CTSA reports with the Executive Director **prior to printing. The Director must review and approve such materials prior to publication, and the documents must be assigned a CTSA publication number.** In addition, CTSA may be able to provide the PI with assistance in the preparation of the report or bulletin and assist with printing costs.
  - b. CTSA logo should be placed on the cover of the publication, or other appropriate place, and the logo of other supporters should also be placed on the cover.
  - c. PIs must provide CTSA with a minimum of five reprints of all journal publications or technical bulletins.
  - d. PIs must provide CTSA with a minimum of 300 copies of extension bulletins, extension fact sheets, or special CTSA reports as soon as they are available. This does not refer to project reports except in cases in which reports are intended for general public distribution.
  - e. In addition, an electronic copy or PDF file of all written publications, suitable to be uploaded onto the CTSA Web site, should also be provided to CTSA.
2. For publications funded by CTSA
  - a. CTSA distributes 50 copies to each RAC (or fewer if 50 presents an excessive expense or logistical hardship), and a single copy to the USDA/CSREES National Program Leaders for Aquaculture and other designated persons within CSREES dealing with aquaculture, and the USDA National Agriculture Library.
  - b. For requests from within the region, CTSA responds directly or refers the requester to the designated principal aquaculture extension contact in the requester's state.
  - c. For requests from outside the region, CTSA refers requesters to the requesters' own RAC headquarters.
  - d. If possible, CTSA makes publications available on its Web site.

3. For publications funded by other RACs
  - a. CTSA provides one good quality copy (if provided enough copies from the originating RAC) to the designated principal aquaculture extension contact in each state in its region (including 1890 and 1994 institutions with a designated aquaculture extension specialist). These individuals may use the publication as appropriate, including reproducing and distributing it within their state (costs covered by respective state extension budget or other sources). Distributor's logo may be incorporated on the cover. Publication may be sold on a cost-recovery basis.
  - b. CTSA informs region (through newsletter and aquaculture associations, etc.) of availability of publication from extension contact representatives.
  - c. If not provided enough copies from the originating RAC, CTSA informs the designated principal aquaculture extension contact in each state in the CTSA region of its availability and how to obtain copies.

## II. Videos

1. PI

PI must provide CTSA with a minimum of five copies of the video.
2. For videos funded by CTSA
  - a. CTSA sends one sub-master to each RAC and to each designated principal aquaculture extension contact in the region. In addition, a good-quality VHS copy of the video shall be provided to the USDA/CSREES National Program Leaders for Aquaculture and other designated persons within CSREES dealing with aquaculture, and the USDA National Agriculture Library.
  - b. For requests from within the region, CTSA responds directly or refers the requester to the designated principal aquaculture extension contact in the requester's state.
  - c. For requests from outside the region, CTSA refers requesters to the requesters' own RAC headquarters.
3. For videos funded by other RACs
  - a. CTSA either provides a good-quality VHS copy of the video to each designated principal aquaculture extension contact in the CTSA region or notifies them of its availability. The extension contacts can then make copies of the video for further distribution within their state on a cost-recovery basis. For videos jointly produced by the RACs and other agencies, co-producers must agree in advance on procedures for sharing credit, cost-sharing, reproduction, and distribution.
  - b. CTSA informs region (through newsletter and aquaculture associations, etc.) of availability of video from extension contact representatives.

## III. CD-ROMs

1. PI

The PI must provide CTSA with a minimum of five copies of the CD-ROM.
2. For CD-ROMs funded by CTSA

- a. CTSA sends one copy to each RAC, the USDA/CSREES National Program Leaders for Aquaculture and other designated persons within CSREES dealing with aquaculture, the USDA National Agriculture Library, and to each designated aquaculture extension contact in the CTSA region.
  - b. For requests from within the region, CTSA responds directly or refers the requester to the designated principal aquaculture extension contact in the requester's state.
  - c. For requests from outside the region, CTSA refers requesters to the requester's own RAC headquarters.
3. For CD-ROMs funded by other RACs  
CTSA informs region (through newsletter and aquaculture associations, etc.) of availability, cost, and how to obtain copies.