POND DYNAMICS/AQUACULTURE

COLLABORATIVE RESEARCH SUPPORT PROGRAM

POLICY AND OPERATING PROCEDURES

last revised February 2002
PD/A CRSP Policy and Operating Procedures

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PD/A CRSP POLICY AND OPERATING PROCEDURES

PROGRAM BACKGROUND, GOAL, MISSION, AND OBJECTIVES

The Pond Dynamics/Aquaculture CRSP is one of a family of nine CRSPs that were created to link the capabilities of US agricultural universities with the needs of developing countries. Collaborative Research Support Programs are funded by the United States Agency for International Development and by participating US and host country institutions. Since its inception in 1982, the PD/A CRSP has worked towards increasing global food security through advances in pond aquaculture. Specifically, the goal of the PD/A CRSP is to provide a basis for enhancing the development and sustainability of aquaculture production systems in order to improve food supplies and human nutrition on a long-term basis. Implicit in the CRSPs goal is the following mission:

- To raise small farmers’ incomes and increase consumers’ welfare by enhancing fish farm productivity.
- To improve the well-being of the rural poor.
- To conserve or enhance the natural resource base.

The strategy employed towards this goal is to conduct production systems research and to strengthen human and institutional capacities. The PD/A CRSPs activities are guided by the following programmatic objectives:

- To optimize production and economic implications of aquacultural production, and reduce the detrimental environmental impacts of aquaculture systems.
- To strengthen the capacity of National Agricultural Research Systems (NARS) through the provision of appropriate training and education mechanisms, modernized information management, and networking.
PURPOSE AND AUTHORITY OF THE POLICY AND OPERATING PROCEDURES

The purpose of the Policy and Operating Procedures is to provide a clear description of management procedures to CRSP participants.

Authority for Policy and Operating Procedures for the PD/A CRSP is contained in Grant No. LAG-G-00-96-90015-00 from USAID to the PD/A CRSP Management Entity, Oregon State University. This grant authorizes the PD/A CRSP from 1 August 1996 to 31 July 2001, with an extension authorizing continuation of the grant through 31 July 2003. In addition, CRSP operations are governed by the BIFAD Guidelines for CRSPs and the Continuation Plan 1996-2001.

Policy and operating procedures will be updated on an as-needed basis over the course of the grant in order to inform CRSP participants of changes that impact project management, such as new USAID policies or altered special or standard provisions.

In the case of discrepancies between the Policy and Operating Procedures and the Grant (Grant No: LAG-G-00-96-90015-00), the Grant document takes precedence.
PROGRAM LEADERSHIP

Management Entity and Program Management Office

Primary management responsibilities for the PD/A CRSP are vested in Oregon State University, called the “Management Entity” (ME). The ME is the institution with the legal status of a juridical body that administers the grant from USAID and manages the total research program. Among the MEs functions are the following:

- Receives and administers AID grant funds for the CRSP.
- Enters into subgrant agreements with participating US and host country institutions for their respective projects.
- Coordinates and leads the development of annual budgets and work plans.
- Holds responsibility for the program and is accountable to USAID for all expenditures.
- Establishes a system to facilitate and manage travel.
- Reports on the program and represents the CRSP in dealings with AID/W, and internationally.
- Through subagreements, holds participating institutions responsible for programs and accountable for use of funds.
- Develops, with participating institutions, a system for effective management of the program and control and accounting of funds, including matching resources contributed by participating institutions.

The Program Management Office (PMO) carries out ME functions at Oregon State University. As the decision-making body on fiscal and programmatic matters, the PMO is advised in this function by the Board of Directors (BOD), Technical Committee (TC), and External Evaluation Panel (EEP). Consistent with BIFAD regulations, the ME is represented by a permanent member on the Board of Directors. The ME appoints a Program Director to administer the CRSP. Operating costs for the PMO are provided through the Grant.

Among the activities carried out by the PMO are the following:

- Administer in both fiscal and programmatic terms the research program under the programmatic guidance of the Board of Directors and the administrative authorization of the ME institution.
- Allocate resources for research among disciplines and the participating institutions, maintaining balance between US and overseas research activities, in a manner most appropriate for cost-effective achievement of goals.
- Prepare and submit annual and other reports to AID/Washington in a timely manner as required in the grant document.
- Develop and carry out a reporting and publication system that will assure appropriate publicizing and use of research findings of the CRSP overseas and in the US, aimed at the different institutional audiences and different national and ethnic groups that the CRSP deals with.
- Work with AID/Washington, S&T Bureau, Regional Bureaus, and USAID Missions, and with representatives of participating US institutions in confirming tentative site selections and developing MOUs and specific programs with annual work plans and budgets in each prime country or countries in each ecological zone or geographic region where located.
Establish an effective working relationship with AID Washington offices, US institutions, international centers and agencies, as well as with host country institutions.

Coordinate and provide creative leadership and direction to planning and implementation of the CRSP, especially its overseas components.

Represent the CRSP in specific official contacts within the United States and abroad, dealing with AID and BIFAD.

Take measures to have the CRSP structure established as outlined in proceeding sections, assuring that functions are described, the charter is established, and by-laws written, in accordance with provisions of the grant document.

Organize the ME staff to serve as secretariat for the BOD and EEP, with minutes to be taken and recorded.

Nominate members for the External Evaluation Panel on the advice of the Board, considering recommendations of the TC, participating institutions, and other sources, obtain clearances of nominations by the Board, BIFAD, and AID.

Describe functions for a strong role for the EEP and the manner for its operation, with schedules to keep it informed and to facilitate its work, assuring thorough evaluations and reports, with institutional and country site visits on a rotational basis.

In coordination with the participating US institutions, prepare, manage, and evaluate annual budgets and work plans for research and training.

Develop subgrant agreements with participating institutions, and subcontracts where necessary to supplement the technology from other sources where not available in CRSP member institutions.

Establish a system for advanced planning and control of travel, utilizing the control systems available to participating institutions.

Arrange for meetings among personnel of CRSP US and host country institutions as necessary with due consideration of cost factors.

The Program Director administers the CRSP through the PMO and appoints staff as needed for overall leadership and implementation of the CRSP. In accordance with BIFAD guidelines, the Program Director serves as ex-officio member of the Board of Directors and Technical Committee and serves on the steering committee of the CRSP Council.

Advisory Bodies

Board of Directors

The Board of Directors (BOD) consists of representatives from participating institutions and operates under the charter as defined by the BIFAD guidelines to deal with policy issues, review and approve plans and proposed budgets, assess progress, and advise the PMO on these and other matters. The Cognizant Technical Officer (CTO) from USAID and the CRSP Director serve as ex-officio members. All Board members function in the objective interest of the CRSP regardless of their institutional affiliation.

The Board will consist of, at a minimum, four members. Consistent with BIFAD guidelines, OSU will have a permanent member on the Board. The OSU Board member will not serve as Chair. Three other Board members will come from participating US
CRSP institutions on a rotating basis (Table 1). Outside members may be appointed to
the Board based on availability of funding and need. Board members are nominated by
their participating institutions from their higher administrative management level. Host
country agencies collaborating in the CRSP may also have representation on the Board.

The term length on the Board is three years, typically with service as chair in the third
year. Active BOD members receive compensation related only to invitational travel.
Such travel is financed jointly to limit costs, i.e., the CRSP pays for every other trip
made by a Board member, and the member’s institution pays for the intervening travel.

Table 1. Rotation Schedule for Board Members and Institutional Representatives

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<th>Institution</th>
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Legend:
X: active Board member; *: Chair of the Board (1-year term); AU: Auburn University; FIU: Florida
International University; MSU: Michigan State University; OhSU: The Ohio State University; OSU:
Oregon State University; UA: University of Arizona; UAPB: University of Arkansas at Pine Bluff; UG:
University of Georgia; UH: University of Hawaii; UM: The University of Michigan; UO: University of
Oklahoma

Note: Although the University of Hawaii was not an active participating CRSP institution during the
Eighth Work Plan (1996-1998), the UH representative continued to serve on the BOD through April 1997
to maintain continuity.

The Board meets at least twice annually. The Chair of the Board, in consultation with
the PMO, calls the meeting. Other Board meetings may be called by the Chair in
consultation with the PMO or by the call of two or more Board members. Meetings may
be held in person, by telephone, or by other electronic communication means. Any
action required or permitted to be taken by the Board may be taken by a mail ballot
without a congregate meeting if members of the Board, individually or collectively,
consent in writing to such procedure. Actions duly taken without a congregate meeting
are recorded and have the same force and effect as an action or resolution duly adopted
at a meeting of the Board. Attendance by more than 50% of the Board membership is
considered a quorum for transacting business.
A simple majority of members is required for decisions of the Board on all matters presented. The vote of each active BOD member (yes, no, or abstain) is recorded. The Board’s advice and guidance is carefully considered by the PMO. Departures from the Board’s recommendations by the PMO are justified, recorded, and reported in writing to the Board by the PMO. The PMO prepares minutes for Board meetings.

**Technical Committee**

Technical guidance for the program is provided by the Technical Committee (TC), whose purpose is to monitor the technical research of the PD/A CRSP, to propose modifications in the research program, and to recommend allocations of funds for research activities.

The TC has the responsibility to:
- Review and recommend to the PMO overall research plans and biennial work plans for the research projects;
- Assist in the development of annual and intensive five-year reviews;
- Make necessary recommendations on program progress and problems to the PMO, including, but not limited to, an analysis of the recommendations of the EEP;
- Make necessary input to the CRSP Council through Council representation by the CRSP Director.

The TC is organized around three strategic research areas: production optimization, environmental effects, and social and economic aspects. To facilitate evaluation and maximize effectiveness, members are elected by program PIs based on their expertise in these areas, and, once selected will represent their respective disciplines. Host country members will be included in the selection process. The PMO may appoint, after consultation with the Board, additional members to the TC to provide expertise in unrepresented areas. In accordance with BIFAD guidelines the USAID Cognizant Technical Officer, CRSP Director, and CRSP Assistant Director for Research will serve as ex-officio members to the TC. To ensure diversity there should be at least three members representing each of the three strategic research areas. The TC is comprised of the Co-Chairs and the three members of the three standing subcommittees: work plan and budget, technical progress, and materials and methods. The TC bylaws comprise Appendix 1 of this document.

**External Evaluation Panel**

The primary function of the External Evaluation Panel (EEP) is to provide counsel to USAID and critical feedback to the PMO, BOD, and TC. It does so by evaluating the status, funding, progress, plans, and prospects of the research program. The EEP also periodically evaluates the accomplishments of CRSP research activities and of the program as a whole.

The panel is composed of specialists who are external to the program. Panel members are drawn from the international aquatic resources community. The members are selected so that collectively they will cover the substance of the CRSP, including
socioeconomic factors that can influence research and adoption of technology generated from research.

Candidates for the EEP are nominated by the PMO. In making its recommendation to USAID, the PMO considers the advice of the Board, TC, participating institutions and other sources. After USAID receives concurrence from BIFAD, the PMO appoints the new EEP member. In the past, the EEP had three members. During this grant, to enhance review, four scientists will comprise the EEP. New members are rotated in as members resign or are replaced. To promote objectivity, membership on the EEP is limited to one three-year term or participation in one quinquennial review.

The PMO provides the EEP with copies of significant CRSP documents in order to keep the panel advised of CRSP activities. The EEP reviews the CRSP annually and provides an in-depth review every five years.

The EEP meets as necessary to plan activities and develop recommendations. The EEP and PMO jointly plan EEP meetings. Any action required by the EEP may be taken by mail ballot or poll by phone by the Chair. Such consent has the same force and effect as an action duly adopted at a meeting of the EEP. A simple majority of the members present is required for all EEP decisions. Votes (yes, no, or abstain) are recorded.

The PMO must make full use of the EEP and consider its recommendations. Where there is disagreement with an EEP recommendation, a record must be made of the reason for the disagreement. Any decision contrary to the EEP recommendations should be justified in writing and reported by the PMO to USAID.

The EEP serves without compensation but receives reimbursement for all travel expenses during the quinquennial review. Other travel may be jointly financed. Members may receive honoraria during the year of the quinquennial review.

**Annual Review**
The PMO, in consultation with collaborating institutions and the EEP, develops a working schedule for the EEP for comprehensive annual reviews. This provides an opportunity to discuss progress with CRSP scientists and to observe the various CRSP planning activities. An annual report by the EEP is presented to the PMO. The PMO provides copies of the review to USAID and BIFAD.

**Quinquennial Review**
The PMO, with input from USAID and BIFAD, prepares a scope of work for the five-year review. During the year of the five-year review at least two EEP members visit each of the overseas research sites. Also during that year, the EEP may visit the PMO and attend significant CRSP meetings. The EEP must interact with the TC and Board during the quinquennial review year. All EEP members attend the annual meeting. At the conclusion of the review the EEP submits its report to the PMO and Board, with copies to BIFAD through USAIDs Cognizant Technical Officer.
PROJECT DESIGN AND IMPLEMENTATION

Biennial Work Plans

CRSP work plans contain detailed descriptions of investigations to be conducted during a two-year period. The standardized work plan format developed by the Technical Committee starts with a short project overview (objectives, significance, and anticipated benefits) followed by a complete accounting of the research design. Also included are impact indicators, a description of regional integration, and the project schedule.

Each work plan may contain experiments, studies, and activities. The Work Plan and Budget Subcommittee of the Technical Committee defines an experiment as a scientifically sound investigation that addresses a testable hypothesis. An experiment implies collection of new data by controlled manipulation and observation. A study entails the development of new information or the collection of technical data that do not involve a controlled manipulation. Studies include surveys, database examinations, and modeling work. An activity does not generate new scientific information and is generally concerned with information dissemination.

Work Plan Development

US and HC PIs collaboratively develop the investigations to be conducted during the two-year period of the work plan. Several institutions may collaborate to prepare a work plan for a specific host country site under the guidance of a lead institution.

On an as-needed basis, the PMO may issue a Request for Proposals (RFP). RFPs are developed after consultation with the BOD, the TC, and the EEP (if appropriate). The RFP specifies those eligible to respond, research themes to be addressed, other technical and programmatic concerns, the format of the work plan proposals, the schedule, and budget guidelines.

All work plan proposals participate in an anonymous external peer review. The PMO collects the reviews and forwards them to the Work Plan and Budget Subcommittee of the Technical Committee. This subcommittee summarizes the reviews and prepares recommendations to the TC. The Technical Committee reviews the subcommittee’s recommendations and prepares the final TC recommendation to the PMO. The PMO also seeks the counsel of the EEP and BOD. Based on the recommendations of the advisory groups, the opportunities, and programmatic considerations, the Director awards subcontracts to the winning proposals.

After determination of the winning proposals, the PMO, in service to the TC, produces the work plan document. The work plan is sent to the USAID Cognizant Technical Officer (CTO) for review and comment. The TC responds to the CTOs concerns and sends revisions and/or new material to the PMO. Layout, printing, and distribution of the final work plan are carried out by the PMO.
Work Plan Changes

Researchers will provide notice of work plan changes by completing a form (see Appendix 2) developed by the Technical Progress Subcommittee (TPS) of the TC to be submitted to the PMO along with other annual reporting elements. The information collected on the form will serve the TPS, the EEP, and others in evaluating progress on research projects. PIs are advised to contact the PMO if changes cause the research to differ significantly from that of the original approved work plan. As needed, the PMO prints an addendum to the current work plan, detailing the approved work plan changes, and distributes it to the CRSP community.

Administrative Structure for Projects

The general framework governing interaction among the participants of the PD/A CRSP is provided by the grant document, the BIFAD guidelines, and USAID rules and regulations. More specific interactions are detailed in Memoranda of Understanding (MOU) and subcontracts. Subcontracts are the preferred legal instrument between the ME and another US institution. MOUs are negotiated between US institutions and HC institutions and between units of a single institution.

Subcontracts

The ME enters into subcontracts with each participating US institution. The subcontract obligates funds and passes certain authority and responsibility from the ME to the US participating institution. Through subcontracts each US institution is legally bound to adhere to the guidelines and requirements set forth in the grant document. Subcontract appendices contain the work plans, budgets, and other required documentation. These appendices are binding inasmuch as they are appended to and made part of the subcontract signed by the appropriate contracts officials of the US lead institution and the ME. Participating institutions certify by entering the subcontract that they have the institutional and human capacity to perform the work described in the subcontract. A subcontractor cannot itself subcontract any portion of a CRSP subcontract to another institution without the explicit and prior approval of the PMO. For intra-university projects, MOUs are used in lieu of subcontracts.

Procedure

The subcontracting process is initiated by the Director, who informs the subcontractor of the intention to fund a subcontract. Speedy execution of the subcontracting process is ensured by timely submission of the necessary documents by the subcontractor (see sample requirements below).

- CRSP-approved work plan for each experiment, study, and activity proposed
- Technology Adaptation and Transfer Strategy
- Budget (approved by the subcontractor’s university); a separate budget per year and per investigation
- Budget justification
- Pending funds form
- Conflict of interest form for lead PI(s)
- Letter(s) of Interest from partner(s)
- Statement of institutional track record and experience in the proposed HC
• Plans for characterizing new pond research sites, as necessary
• For new companion sites only: Site Selection Criteria response
• Institutional supporting information:
  For all proponents:
  • Animal Use Approval (or written waivers)
  • Human Subjects Approval (or written waivers)
  • NICRA
  For proponents without existing CRSP subcontracts:
  • Institutional & Agency Certifications and Assurances (for primary US institution only)
  • CVs for lead PI(s) (not necessary for partners)

If an award has been offered and accepted and all documents have been received by the PMO, the Director asks the OSU Contracts Office to write a subcontract. The OSU Contracts Officer forwards the written and signed document through OSU to the Attorney General of Oregon. From there the document is sent to the subcontractor’s Contract Office.

**Budget Changes**

The following categories are considered budget line items: personnel, benefits/fringe, services and supplies, travel, equipment, and tuition. PIs may move up to 10% of the amount of each budget line item among line items. If a larger change is required, prior approval must be obtained by sending a message to the Director justifying the requested change.

**Memoranda of Understanding**

An MOU is a formal commitment between the CRSP and a HC to engage in collaborative research and institution-building activities. Draft MOUs must be submitted to the CRSP ME for review. Final MOUs will provide for:

• CRSP institutions not explicitly named to participate with the collaborating institution;
• site visits at the discretion of CRSP; and
• joint authorship among CRSP and collaborating counterparts of any publications, including reporting.

They may also contain the following elements: administrative procedures under the CRSP grant, recognizing the collaborative research program and its goals; procedures for establishing a research relationship; specifications of project responsibilities of the US lead institution; duration of the project (start and end dates); and reporting requirements.

A lead institution may negotiate a Memorandum of Understanding (MOU) with the HC institution(s) on behalf of other CRSP institutions. The MOU is signed by a representative of the HC government and/or administrators of the HC research institution, and by a representative of the US lead institution. Any number of CRSP projects can be established under each MOU. As needed, memoranda are revised from time to time.
Procedures for Enacting Organizational Changes

During the lifetime of the CRSP and during the period of a grant, program priorities may require substantial changes to the research program, such as adding or deleting a research site, moving to another country, or making major changes in the objectives of a project. The PD/A CRSP utilizes its normal planning and review process, including input from the TC, the Board, the EEP, the PMO, and USAID via the CTO, and acts in accord with the BIFAD Guidelines (including approved revisions), when adding, deleting, moving, or substituting a project.

Creating New CRSP Projects

New CRSP projects may be created on an as-needed basis. After having obtained guidance from the CRSP advisory boards, the PMO issues an RFP and follows the RFP and subcontracting processes described above.

Adding, Deleting, or Substituting a US Institution

Reasons for changes include:
- Completion of project objectives;
- Changes in country, regional, or global research priorities;
- Performance on the project below an acceptable standard;
- Decreased USAID support for the CRSP that requires elimination of program components to remain viable.

Adding or Deleting a Host Country Project

The procedure for adding or deleting a host country or HC project is similar to the process described above for a US institution. Input from the TC, the Board, the EEP, the PMO, and USAID, via the CTO, will be used, and the BIFAD Guidelines will be followed. Principal Investigators and administrative personnel in the affected country will be involved as appropriate.

Reasons for such action include:
- Completion of project objectives;
- Changes in country, regional, or global priorities;
- Performance on the project below an acceptable standard;
- Decreased USAID support for the CRSP that requires elimination of program components to remain viable;
- In-country political changes forcing termination of a project.

Changing a US Principal Investigator

When the US Principal Investigator (USPI) of a PD/A CRSP project at a US institution terminates her/his role as USPI, the PMO must be notified immediately. The US institution will immediately appoint an acting USPI to continue the project on an interim basis in accordance with its description in the Work Plan. Within six (6) months of the termination of the USPI, the US institution must:
- Notify the PMO of its interest in continuation of the project; and
Designate (a) new USPI(s). If no suitable USPI can be found, the subcontract may be terminated.

**Changing a Host Country Principal Investigator**

When a Principal Investigator in a CRSP Host Country (HCPI) project terminates her/his role as HCPI, the Host Country institution will immediately appoint an acting HCPI who will continue the project on an interim or permanent basis in accordance with the project description in the Work Plan. The USPI and PMO will be notified immediately of the change in appointments.
PROGRAM POLICIES AND OPERATING PROCEDURES

The CRSP policies and operating procedures were developed within the context of USAID regulations and grant requirements. In addition to describing the funding agency’s compliance requirements, they address the issues and concerns that have surfaced during past CRSP grants.

Cost Sharing
The BIFAD guidelines provide that a CRSP is required to match 25% of the USAID-provided funds with non-federal resources except for the following exemptions:

1) costs to operate the PMO;
2) funds committed under the terms of a formal CRSP host country subagreement;
3) costs for participant training as defined in USAID ADS Chapter 253 (formerly USAID Handbook 10); and
4) hospital and medical costs of US personnel while serving overseas.

In order to ensure equitable cost-sharing among the CRSP participants, each US subcontractor is required to match all non-exempt activities and to provide documentation about cost-share on each invoice.

Lobbying Restrictions
USAID regulations state that funds authorized under this grant cannot be used for any lobbying activities.

Travel
All travel paid for with CRSP funds must be in direct support of CRSP activities; the Principal Investigator approving travel must have budgeted funds for such travel. Domestic travel requires approval only from the Principal Investigator.

All international travel must be approved by the PI and the PMO (see Appendix 3 for International Travel Request Form). In addition to PMO approval, travel whose primary purpose includes interaction with Host Country Missions or which was not included in the budget also requires USAID Mission approval. The PMO will seek this concurrence on behalf of the traveler via the USAID/Washington office.

All travelers must have the appropriate approvals in place before departure. In addition, all travelers must have up-to-date Emergency Locator Forms on file with the PMO prior to travel (Appendix 4). Travelers are requested to submit an updated Emergency Locator Form with their next travel request if there have been changes (i.e., address of the traveler or the traveler’s next of kin.) By and large, travel must be conducted using US flag carriers; PIs should consult the PMO regarding the limited exclusions to this rule that are available. A trip report is required for all international travel. The travel procedures for each type of travel are delineated below.

Domestic Travel

- Traveler submits travel request to Project PI.
International Travel without Mission Contact

- At least 40 days prior to departure, traveler submits a travel request to Project PI.
- If the PI approves the travel, the request is forwarded to the Program Director for approval at least 30 days prior to planned departure.
- The request is returned to the traveler at least 30 days prior to planned departure, with the Director’s approval or disapproval.
- Traveler submits a Trip Report to PMO within 30 days of return.

International Travel with Mission Contact

- At least 40 days prior to departure, traveler submits a travel request to Project PI.
- If the PI approves the travel, the request is forwarded to the Program Director for approval at least 30 days prior to planned departure.
- If the Program Director approves, the request is immediately forwarded to the CTO at USAID/Washington.
- The CTO forwards the request to the Mission.
- The PMO receives a copy of the Mission response via the CTO.
- The PMO immediately notifies the Project PI about the Mission’s response.
- The traveler is responsible for notifying the PMO and the Mission of any changes to the itinerary on file.
- Traveler submits a Trip Report to PMO within 30 days of return.

Trip Reports

Trip reports are an important source of impact information. Therefore, trip reports are required for all international travel and are due 30 days after return. They are also strongly encouraged for all domestic travel. If more than one person is traveling, only one trip report is required for the group. The trip report consists of two parts: a narrative and a logistical summary. The narrative should include:

- Name of traveler(s)
- Scope of Work for the trip
- Technical observations
- Suggestions and recommendations
- Workshops and/or seminars offered by the traveler, with a list of attendees. If possible, the traveler should collect data regarding home country, occupation, and gender of attendees.
- General observations
- Problems noted

The logistical summary should include:

- Itinerary
- List of individuals contacted (name, title, institutional affiliation, address)

Equipment

Equipment is defined as tangible nonexpendable property having a unit price of over $5,000 and a useful life of more than one year. All goods and services must be purchased from a US manufacturer or provider. All equipment purchases require
approval by the PMO. Equipment purchases not identified in the grant document require USAID approval in addition to PMO approval. An Equipment Purchase Request Form (Appendix 5) must be completed and sent to the PMO. If equipment cannot be purchased from a US supplier, a source/origin waiver must also be obtained, with the PMO acting as intermediary between a PI and USAID.

**Reporting and Publication Policies**

Technical and programmatic information is published through a variety of avenues and media. Of primary importance are reports required under the grant. Most of these reports serve a double function; they inform USAID about program developments, and they are avenues to disseminate technical and programmatic information to the aquaculture community. In addition to these required documents, the CRSP publishes brochures, newsletters, and other documents designed for a broader audience or for special purposes. Publications and other documents required by the Grant are outlined in Appendix 6. Non-contractual publications are summarized in Appendix 7.

**Citation of CRSP Publications**

The PMO sends *Preparation and Submission Guidelines* to each PI every year when soliciting annual reports. The *Preparation and Submission Guidelines* give examples on how to properly cite CRSP publications. In cases of uncertainty, please contact the Director of Information Management to obtain citation guidance.

**Non-CRSP-Produced Publications**

CRSP Researchers may preferentially use other avenues than the CRSP *Research Reports* to publish technical information. The CRSP strongly encourages its researchers to submit articles to peer-reviewed journals, proceedings, or multi-author books.

**General Publication Requirements**

Researchers are required to adhere to the guidelines provided below when choosing to publish research results outside the CRSP.

**CRSP Accession Numbers**

All CRSP-funded publications—whether funded wholly or in part—must be identified by an accession number. Before authors submit papers to scientific journals or proceedings, a CRSP Accession number must be obtained. Request accession numbers from the PMO (Assistant Information Manager) by providing title, author(s), work plan, research identification number and the journal to which the report will be submitted.

**Acknowledgment of CRSP Funding**

The CRSP should be acknowledged by referring to the CRSP accession number and the USAID grant number in the “Acknowledgments” section of the paper. Examples of acknowledgments follow.

This work resulted from joint efforts between the Asian Institute of Technology and the Pond Dynamics/Aquaculture Collaborative Research Support Program
PD/A CRSP Policy and Operating Procedures

(PD/A CRSP) funded in part by USAID Grant No. LAG-G-00-96-90015-00. The CRSP accession number is (specify). The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the US Agency of International Development.

This research is a component of the Pond Dynamics/Aquaculture Collaborative Research Support Program (PD/A CRSP), supported by USAID Grant No. LAG-G-00-96-90015-00 and by contributions from the participating institutions. The CRSP accession number is (specify). The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the US Agency of International Development.

Financial support for this project comes mainly from USAID Grant No. LAG-G-00-96-90015-00 through the Pond Dynamics/Aquaculture Collaborative Research Support Program. The CRSP accession number is (specify). The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the US Agency of International Development.

Part of this paper was prepared with support from the Pond Dynamics/Aquaculture Collaborative Research Support Program (PD/A CRSP), funded by USAID Grant No. LAG-G-00-96-90015-00 and by contributions from the participating institutions. The CRSP accession number is (specify). The opinions expressed herein are those of the author(s) and do not necessarily reflect the views of the US Agency of International Development.

The CRSP also needs to be acknowledged when making presentations at scientific conferences. An acknowledgment slide can be requested from the PMO or downloaded from the PD/A CRSP website.

Guidelines for Specific Publication Avenues

Publication of CRSP Research in Peer-Review Journals
PIs are encouraged to publish the results of their research in peer-reviewed journals. PIs must obtain a CRSP accession number before submitting a paper to a journal and follow the policies and guidelines for correctly acknowledging the CRSP contribution (please see above for detailed instructions). Copyright laws must be followed. Specific copyright restrictions should be forwarded to the PMO.

When a paper has been accepted by a journal, PIs must provide the PMO with the following information: journal in which the paper was accepted, expected issue in which the paper will be published, and whether reprints will be ordered. The PMO may consider purchasing 20 to 50 offprints at the time this order is placed. (Offprints usually cannot be ordered after publication.) If no offprints are being produced, the PMO requires a copy of the abstract and complete reference as the abstract will be published as a Notice of Publication in Aquanews.

Publication of CRSP Research in Proceedings
Publication requirements regarding accession number, acknowledgments, and offprints are the same as for scientific journals; however, authors should be aware of specific
copyright laws applying to proceedings. Some proceedings specify that publication of
their proceedings does not preclude publication elsewhere. Authors should advise the
PMO of the copyright restrictions applicable to each paper they have published in a
proceedings volume and provide the PMO with the complete reference of the paper(s).

Presentations at Conferences
Presenters of CRSP research results are required to acknowledge the CRSP with a
slide/overhead. A copy of the CRSP acknowledgment slide can be obtained from the
PMO or downloaded from the program website.

PMO-Co-Sponsored Publications
If the CRSP co-sponsors a publication (i.e., contributes to the publication cost), the
author(s) need(s) to obtain an accession number and submit a final draft to the PMO.
The publication needs to prominently display the program name and (if possible) the
program logo on the cover and title page. CRSP support needs to be acknowledged in
the acknowledgment section. Distribution responsibilities and costs need to be
negotiated prior to publication.

Impact Monitoring

The CRSP uses impact indicators to monitor the effects of its research on stakeholders,
beneficiaries, extension services, the research community, and the field of aquaculture.
The Information Management and Networking Component (IMNC) is responsible for
annually soliciting and collecting researchers’ quantifications of their impacts.

IMNC staff collect project-specific impact information designed to capture CRSP
participants’ activities that were sponsored by the CRSP or came about as a result of
CRSP work. These forms (see Appendix 8) are requested on a quarterly basis and allow
the IMNC to monitor, track, and report progress in the areas of outreach, public service,
and professional development. The types of information collected include:

- Research progress
- Institution building (contacts with host country scientists, government officials,
extension agents, farmer organizations, farmers, non-governmental
organizations)
- New host country involvement
- Physical support for host country institutions (e.g., pond renovation)
- Linkage development (technical or professional communications with USAID
missions, host country institutions, non-governmental organizations, and
regional institutions)
- Conferences attended
- Students advised
- Lectures, seminars, presentations, and workshops given
- Outreach activities (community or school extension activities) undertaken
- Electronic linkages made
- Publications, including technical papers and book chapters, authored
- Theses published
- Awards or commissions received
- Informational material developed
Frequently Asked Questions

My university has a more restrictive definition for equipment than USAID. Do I need to obtain approval for every item my university considers equipment?

No. You need to obtain only approval for items of tangible nonexpendable property having a unit price of over $5,000 and a useful life of more than one year (which is how USAID defines equipment).

I would like to purchase some items that have not been budgeted. They cost less than $5,000. I have some savings in my Services and Supplies line item. Can I use the savings or do I need approval?

You do not need approval for adjustments within a line item. You can move up to 10% of the amount budgeted for one line item to another line item without seeking PMO approval.

The CRSP encourages student participation. A student who is not a citizen of our host country but from a neighboring country is interested in participating in the CRSP. Is this possible?

Yes. Students do not have to be citizens from current host countries. Students from neighboring countries or other countries within the region are eligible to participate in the CRSP.

I would like to travel to a host country. There is no convenient connection available if I use only US carriers. However, there is a very convenient connection available if I use a non-US carrier for one leg of the trip. Can I use the non-US carrier?

No. Convenience is not considered an allowable justification for using non-US carriers. (Please contact the PMO for complete rules.)

We only started our research recently. Do we still have to submit an annual technical report?

Yes, but if you have no data collected up to this point, an abstract is sufficient. Administrative reporting is required under all circumstances.

One of my students used CRSP data for his research but was not supported by the CRSP. Do I need to obtain an accession number?

No. An accession number is only required if the CRSP provided financial support. However, we would like to be acknowledged for the use of the Central Database.

What is the process the CRSP uses to allocate funding?

The CRSP issues an RFP. Any researcher of a university identified as eligible in the RFP can submit a proposal/work plan. The proposals are then peer-reviewed. The advisory groups recommend successful proposals for funding. Based on the counsel of the reviewers and advisory groups, and under consideration of funding levels and programmatic concerns, the Director determines the winning proposal(s) and notifies
the PI(s). Also required are several documents that must be on file at the PMO. When all required documents are in place, the Director asks OSUs Contract Office to issue a subcontract for each funded proposal. After being drafted by OSU and then authorized by the Oregon State Attorney General’s office, the subcontract is sent to the subcontractor’s Contracts Office for signatures.

**When do I have to submit a travel request?**

A travel request must be submitted to PMO for every international trip 40 days prior to departure.

**What do I need to do if my investigation did not proceed exactly according to my work plan?**

You do not need to gain approval for work plan changes, but you must provide notice of changes by completing a form (see Appendix 2) developed by the Technical Progress Subcommittee (TPS) of the TC. You should submit the form to the PMO along with other annual reporting elements. The information collected on the form will serve the TPS, the EEP, and others in evaluating progress on your research project. Additionally, you are advised to contact the PMO if changes cause the research to differ significantly from that of the original approved work plan. As needed, the PMO prints an addendum to the work plan containing the most recent changes and distributes it to the CRSP community.
Appendix 1. Technical Committee Bylaws

BYLAWS OF THE PD/A CRSP TECHNICAL COMMITTEE, APPROVED NOVEMBER 2001

1. Purpose of the Technical Committee
The Technical Committee (TC) provides technical guidance; monitors technical research; proposes modifications; and recommends allocations of research activity funds for the Pond Dynamics/Aquaculture CRSP (PD/A CRSP).

2. Composition of the Technical Committee
The Technical Committee (TC) will be constituted by the members of its subcommittees, two Co-Chairs, and At-large member(s). The TC will select, from among its members, one individual to act as secretary. The USAID Project Officer, CRSP Director, and CRSP Assistant Director will be non-voting, ex-officio members of the TC. In addition, the CRSP Director in consultation with the TC may appoint additional non-voting, ex-officio members to the TC to provide expertise in underrepresented areas.

The TC will have the following Subcommittees:
- Work plan and budget
- Materials and methods
- Technical progress

Each subcommittee will consist of three members, with one member representing each of the three strategic areas indicated in the 1996 continuation plan: “Production Optimization,” “Environmental Effects,” and “Social and Economic Aspects.”

Each subcommittee will select a chair from among its members. The chair will preside over the work of the subcommittee. The chair will present a report to the TC at its Annual Meeting.

3. Election of Co-Chairs, Subcommittee Members and At Large Members
a) All Subcommittee members will be elected by the US and Host Country Principal Investigators (PIs) of formal work plans. A formal work plan refers to research investigations funded by the Pond Dynamics/Aquaculture Collaborative Support Program, and recorded in a subcontract between the Management Entity (ME) and Principal Investigator's institution. Only one US PI and one HC PI can represent a given work plan, regardless of the number of collaborating institutions. No one person can cast more than one vote, nor serve in more than one office at any given time. All elections will be by a simple majority. In the event of a tie vote, a re-vote will take place. The TC Co-Chairs will break the tie if it persists after the re-vote.

The External At-large member(s) of the TC will not be a participant in the PD/A CRSP research activities, but will be selected by the Program Management Office based on expertise in topics related to PD/A CRSP activities (See p. 61 of the Continuation Plan: “The Program Management Office may approve additional members” — these are not appointed by the Technical Committee)

b) Elections will be by email ballot. Regular mail ballots will be an additional option. The Assistant Director will distribute a ballot of potential candidates to the electorate 45 days prior to the annual meeting. Completed ballots are due to
the Assistant Director one month later. At the end of the Technical Committee meeting the newly elected members of the Technical Committee will be announced by the sitting TC Co-Chair.

c) Subcommittee members will become members of the TC by virtue of their election to a subcommittee.

d) TC subcommittee members and TC Co-Chairs will be Principal Investigators in active PD/A CRSP research activities. The External At-large member(s) of the TC will not be a participant in the PD/A CRSP research activities, but will be selected by the Program Management Office based on expertise in topics related to PD/A CRSP activities (See p. 61 of the Continuation Plan “The Program Management Office may approve additional members” — these are not appointed by the Technical Committee).

e) Nominations for TC subcommittee membership and the TC Co-Chairs will be solicited by the TC Co-Chairs three months prior to the Annual Meeting, and will be due to the Assistant Director two months prior to the Annual Meeting. The External At-large member(s) of the TC will be selected by the Program Management Office as required (See p. 61 of the Continuation Plan “The Program Management Office may approve additional members” — they are not appointed by the Technical Committee). Anyone submitting a nomination needs to ensure the nominee’s willingness to serve if elected. Nominations may be made by any current participant in the PD/A CRSP. A current participant is defined as anyone actively involved in the PD/A CRSP affairs at the time of nomination.

f) To ensure broad base representation on the TC, geographic diversity and institutional representation will be considered in the nomination and election process. Therefore, after having received nominations from the PIs, the Assistant Director will develop a list of potential candidates for each subcommittee, for the Co-Chairs, and for the At-large members.

g) In selecting subcommittee members the criteria for balance will be applied in the following order of importance (most important first):
   i. Strategic area of specialization
   ii. Institutional affiliation
   iii. Geographic area of interest or expertise

   No more than one subcommittee member may be from the same institution. In the event that more than one member-is elected from the same institution, the ones with the lowest number of votes will not be elected and will be replaced by the candidates with the next highest number of votes who represents a different institution.

   The TC Co-Chairs and the BOD Chair should all be from different institutions.

h) A member who cannot attend the Technical Committee Meeting will recommend a proxy and will solicit approval from the Co-Chairs for her/his appointment.
The proxy will perform all the necessary duties of the member being replaced during the course of the meeting. The original TC member will resume duties once the Technical Committee Meeting is concluded. In the event that a proxy cannot be appointed prior to the start of the Technical Committee Meeting, the TC Co-Chairs will appoint a substitute member for the duration of the Technical Committee Meeting. Appointment of the substitute should follow the same guidelines indicated in 3.g. of these bylaws.

i) In the event that an existing TC member resigns or is unavailable for a long time period, the TC Co-Chairs will appoint a temporary substitute until the next Technical Committee Election, when a replacement will be elected.

4. Duration of Service of Technical Committee Members
   a) Subcommittee members will be elected for periods of up to three years. Elections to each subcommittee during the first year will be for periods of three, two or one-year terms, for the highest, second highest and third highest vote count respectively. During the second and subsequent years, elections will be for a three-year term to ensure that one subcommittee member rotates in/out every year. Subcommittee members can be re-elected.
   
   b) The At-large TC members will each be elected for a two-year term, and cannot be re-elected for a successive term.
   
   c) The TC Co-Chairs will be elected for periods of up to two years. During the first year, the highest vote count will be elected to a two-year term, and the second highest vote count to a one-year term. During the second and subsequent years, elections will be for periods of two years. TC Co-Chairs can be re-elected. A TC subcommittee member whose term has not yet expired can be nominated (and elected) to serve as Co-Chair. Acceptance of the TC Co-Chair position requires the subcommittee member to forfeit his/her seat. The forfeited subcommittee seat shall be filled by a subcommittee election runner up who can fulfill the requirements specified under 3.g and serve out the term of the new Co-Chair. If no runner up can fulfill the requirements, a new election shall be held to fill the now vacant position.

5. Responsibilities of the Technical Committee
   a) develop the biennial work plans and budgets for the research projects.
   
   b) review and recommend to the Director overall research plans, biennial work plans, and budgets for the research projects.
   
   c) assist in the development of annual and five-year reviews.
   
   d) assist in the development and review of the Annual Report.
   
   e) assess program progress, identify problems and make recommendations to the Director.
f) provide input to the CRSP Council through the PD/A CRSP representation to the Council.

6. Responsibilities of the Subcommittees
   a) Work Plan and Budget
      i. Will review work plan proposals. The subcommittee will use anonymous reviewers in their review of the work plans. The anonymous reviews will be provided by PD/A CRSP researchers (internal), and by non-PD/A CRSP researchers (external). Solicitation of these internal and external reviews will be coordinated by the Program Management Office (PMO) to ensure confidentiality.
      ii. Will review budgets associated with work plan proposals.
      iii. Will prepare recommendations to the TC on work plan and budget submissions. The recommendations will consider whether the work plans submitted and reviewed should be carried out under the PD/A CRSP. The subcommittee may recommend that work plans be modified, resubmitted, and reviewed prior to final approval. All recommendations should take into consideration the budgets of the work plan submissions.
      iv. Will prepare a final version of work plans approved by the TC for submission to the PMO.

   b) Materials and Methods
      i. Will update the PD/A CRSP Handbook of Materials and Methods. Updating will be carried out as methods and techniques evolve, and as new areas of research are included under the PD/A CRSP work plans.
      ii. Will ensure that materials and methods used in all PD/A CRSP work plans are consistent with those included in the PD/A CRSP Handbook of Materials and Methods.
      iii. Will develop a laboratory quality assurance program for PD/A CRSP research, will review results of its implementation, and will report on those results to the TC.
      iv. Will standardize site descriptions and will update the PD/A CRSP site description book.

   c) Technical Progress
      i. Will review the progress of all work plans being carried out under the PD/A CRSP. The review will consider adherence to the timelines proposed in the work plan, timeliness of reports, and timeliness of data submission to the Data Base Manager. The review will determine whether work plan objectives are being met in a timely manner.
      ii. Will present a report to the TC with recommendations on action to be taken when projects are not performing in a timely manner, or if the quality of the work is considered to be lacking.

   d) Three Subcommittees
      i. Address specific issues as requested by the TC or TC Co-Chairs.
7. Responsibilities of the TC Co-Chairs
   a) Prepare the agenda for the annual meeting in consultation with the TC and the PMO.

   b) Preside over the annual meeting and conduct elections.

   c) Provide guidance and leadership to the TC.

   d) Interact with chairs of TC subcommittees to ensure that subcommittee tasks are completed.

   e) Approve changes made by PIs to their work plans after the initial approval process.

   f) Represent the TC before the BOD, PMO, and other groups or individuals as needed.

   g) In matters that come to a vote before the TC, the Co-Chairs will exercise their voting rights only when their vote(s) would affect the outcome. In such cases the Co-Chairs can either vote and thereby change the result, or can abstain.

8. Responsibilities of the TC Secretary
The secretary will be responsible for preparing minutes of the TC annual meeting. The minutes shall be forwarded to the PMO for distribution to PD/A CRSP participants within one month after the closing of the annual meeting.

9. Meetings
The TC will meet at least once per year. The TC Co-Chairs, in consultation with the Director, call the Annual TC Meeting. Other TC meetings are called by the Co-Chairs of the TC in consultation with the Director. The PMO sends written notice of a meeting and major items of business to each member of the TC at least two weeks prior to the meeting, or one week prior to the meeting when it is determined that a meeting by conference telephone or other electronic communication will be held. Subcommittee recommendations and reports will be reviewed and approved at the Annual Technical Committee Meeting. The TC will prepare a report and a set of recommendations to the Director. All voting TC members are eligible to vote on matters brought before the TC. Ex-officio members of the TC can participate in the deliberations of the full TC or of any of its subcommittees, but do not have the right to vote. All items coming to a vote before the TC will be decided by a simple majority of those present. Quorum for the TC consists of at least one half of its voting members.

10. Action without Meetings
Any action required or permitted to be taken by the TC may be taken by a mail ballot without a meeting, if members of the TC individually or collectively consent in writing to such procedure. Actions duly taken without a congregate meeting shall be recorded and shall have the same force and effect as an action or resolution duly adopted at a meeting of the TC. Quorum for a mail ballot consists of at least one half of the TC voting members.
11. Fees and Compensations
TC members receive no stated compensation for their services as TC members, but reimbursement from project funds is allowed for expenses associated with attendance at each meeting. Outside members, appointed to the TC to broaden its expertise, are subject to joint financing arrangements. TC Co-Chairs upon request and approval of the Director may receive some compensation to defray expenses associated with carrying out their responsibilities.

12. Parliamentary Authority
The rules contained in the current edition of Robert’s Rules of Order Newly Revised shall govern the TC in all cases to which they are applicable and in which they are not inconsistent with these bylaws and any special rules of order the TC may adopt.

13. Amendment of Bylaws
These bylaws may be amended at any regular meeting of the TC or by mail ballot by a two-thirds vote of the TC. Amendments must be approved by the Director.
Appendix 2. Work Plan Change Form

POND DYNAMICS / AQUACULTURE TITLE XII
COLLABORATIVE RESEARCH SUPPORT PROGRAM
Oregon State University
418 Snell Hall
Corvallis, Oregon 97331-1643 USA

PD/A CRSP CHANGE OF WORK PLAN
USAID Grant No. LAG-G-00-96-90015-00

Project Leader:

Lead Institution:

Work Plan Number:

Experiment/Study Title and Code:

Check all appropriate categories of the proposed modification(s):

___ Experiment/Study Objective(s)
___ Experiment/Study Design
___ Experiment/Study Treatment Protocols (Methods)
___ Experiment/Study Location(s)
___ Experiment/Study Deliverables
___ Experiment/Study Schedule (include new date in the description below):

Provide a brief description and justification (not to exceed one page) that addresses each type of modification proposed.
Appendix 3. International Travel Request Form

PD/A CRSP Policy and Operating Procedures

PD/A CRSP INTERNATIONAL TRAVEL REQUEST
USAID Grant No. LAG-G-00-96-90015-00

Date submitted to CRSP:

1. Traveler and Trip Information
   Lead institution/project:
   Principal investigator(s):
   Traveler's name:
   Traveler's institution:
   Destination:
   In-country contact person:
   Proposed departure date:
   Proposed return date:

   Traveler has submitted a PD/A CRSP emergency locator form to the Program
   Management Office:
   yes   no

2. Purpose of Travel
   Is the primary purpose of the trip to work with USAID Mission or US Embassy
   personnel and/or will traveler seek significant administrative or programmatic
   support from the USAID Mission or the US Embassy?

   Please explain:

3. Prior Budget Approval
   Is the proposed travel identified in the award budget?

4. Traveler and PI Signatures

   ___________________________________________  ___________________________________________
   Traveler                                      Principal Investigator

5. PMO Approval

   ___________________________________________  ____________
   CRSP Program Director                      Date
Appendix 4. Emergency Locator Form

POND DYNAMICS / AQUACULTURE TITLE XII
COLLABORATIVE RESEARCH SUPPORT PROGRAM
Oregon State University
418 Snell Hall
Corvallis, Oregon 97331-1643 USA

PD/A CRSP EMERGENCY LOCATOR FORM
USAID Grant No. LAG-G-00-96-90015-00

Date form completed:

1. Traveler Information

   Traveler's name:
   
   Traveler's institution:
   
   Traveler's home address:
   
   Home telephone (and email, if available):

2. If traveler will take up foreign residency, please provide

   Overseas address:
   
   Overseas telephone and email, if available:

3. Next of kin (to be notified in case of emergency)

   Name:
   
   Relationship to traveler:
   
   Address:
   
   Telephone (and email, if available):

4. Special instructions/conditions (describe below):
Appendix 5. Equipment Purchase Request Form

REQUEST TO PURCHASE EQUIPMENT
(for single units costing more than US$5,000)

Lead institution/project:
Principal investigator(s):
Item to be purchased:
For exclusive use in what geographic location:
Unit Price:
Probable country of source (vendor):
Probable country of origin (manufacturer):
  • A Source/Origin Waiver is needed if either the source or origin is non-US and the unit cost is greater than US$5,000.
  • See Source/Origin Waiver Instructions below.

Justification of Equipment Purchase
Address the following issues here:
  • Is cost included in current FY project budget?
  • Who will use the purchases?
  • How will use of this item contribute to accomplishment of project objectives and significantly improve chances for project success?
  • Would you accept a substitute?

Source/Origin Waiver Instructions
The following section must be completed when either the source or origin of the equipment is non-US and the unit cost is greater than US$5,000.
Address the following issues here:
  • Why must non-U.S. vendor/manufacturer be used?
  • If purchase is made in the host country, is it an “off the shelf” item?
  • If purchased or used in the host country, are spare parts and qualified dealers/technicians available for maintenance?)
## Appendix 6. Contractual Reporting Requirements

<table>
<thead>
<tr>
<th>Publication</th>
<th>Producers of Draft Document</th>
<th>Draft Deadline</th>
<th>Final Deadline</th>
<th>Frequency of Publication</th>
<th>Draft Audience</th>
<th>Target Audience</th>
<th>Dissemination Avenues</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work Plans</td>
<td>IMNC</td>
<td>60 days following date of award</td>
<td>1 month after review of draft by CTO</td>
<td>As needed</td>
<td>USAID CTO/CRSP Director</td>
<td>USAID CT &amp; Grant Officers/ BIFAD/CRSP Pls./ PMO/Other CRSPs</td>
<td>Direct mail / website / DEXS</td>
</tr>
<tr>
<td>Work Plan Addenda</td>
<td>IMNC</td>
<td>As required</td>
<td>As needed</td>
<td>USAID CTO/CRSP Director</td>
<td>USAID CT &amp; Grant Officers/ BIFAD/CRSP Pls./ PMO/Other CRSPs</td>
<td>Direct mail / website / DEXS</td>
<td></td>
</tr>
<tr>
<td>Annual Administrative Report</td>
<td>CRSP Pls./IMNC</td>
<td>90 days following close of reporting period</td>
<td>Annually</td>
<td>USAID CTO/CRSP Director</td>
<td>CRSP mail database entries (+USAID Project &amp; Grant Officers/ BIFAD)</td>
<td>Direct mail / website / DEXS</td>
<td></td>
</tr>
<tr>
<td>Annual Program Meeting Minutes</td>
<td>PMO</td>
<td>14 days after meeting</td>
<td>1 month after review of draft by meeting presenters</td>
<td>Annually</td>
<td>Meeting presenters</td>
<td>USAID CT &amp; Grant Officers/ BIFAD/CRSP Pls./PMO</td>
<td>Electronic mail</td>
</tr>
<tr>
<td>BOD Meeting Minutes</td>
<td>PMO</td>
<td>14 days after BOD meeting</td>
<td>1 month after review of draft by BOD members</td>
<td>As needed</td>
<td>BOD members</td>
<td>USAID CT &amp; Grant Officers/ BIFAD/CRSP Pls./PMO</td>
<td>Electronic mail</td>
</tr>
<tr>
<td>TC Meeting Minutes</td>
<td>TC Secretary</td>
<td>14 days after TC meeting</td>
<td>1 month after review of draft by TC members</td>
<td>As needed</td>
<td>TC</td>
<td>USAID CT &amp; Grant Officers/ BIFAD/CRSP Pls./PMO</td>
<td>Electronic mail</td>
</tr>
<tr>
<td>Research Reports</td>
<td>CRSP Pl(s)/IMNC</td>
<td>n/a</td>
<td>n/a</td>
<td>As submitted</td>
<td>n/a</td>
<td>CRSP mail database entries (+USAID CT &amp; Grant Officers/ BIFAD)</td>
<td>Direct mail / website / DEXS</td>
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<tr>
<td>Working Papers</td>
<td>TBA</td>
<td>TBA</td>
<td>1 month after review of draft by relevant parties</td>
<td>As needed</td>
<td>USAID CTO/CRSP Director</td>
<td>TBA</td>
<td>Electronic mail</td>
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<tr>
<td>EEP Report</td>
<td>EEP, PMO</td>
<td>n/a</td>
<td>14 days after submission by EEP</td>
<td>Annually</td>
<td>n/a</td>
<td>USAID</td>
<td>Direct mail</td>
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</table>
## Appendix 7. Other Program Publications

<table>
<thead>
<tr>
<th>Publication</th>
<th>Document Origin</th>
<th>Publication Schedule</th>
<th>Frequency of Publication</th>
<th>Target Audience</th>
<th>Format</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Technical Report</td>
<td>CRSP PIs/IMNC</td>
<td>October</td>
<td>Annually</td>
<td>CRSP mail database entries (+USAID CT &amp; Grant Officers/ BIFAD)</td>
<td>Direct mail/website/DEXS</td>
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<tr>
<td>Aquanews</td>
<td>IMNC</td>
<td>October, January, April, July</td>
<td>Quarterly</td>
<td>CRSP mail database entries</td>
<td>Newsletter/email/website</td>
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<tr>
<td>Notices of Publication</td>
<td>CRSP PIs(s)</td>
<td>October, January, April, July</td>
<td>Quarterly</td>
<td>CRSP mail database entries</td>
<td>Included in Aquanews/website</td>
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<tr>
<td>EdOp Net</td>
<td>IMNC</td>
<td>Ongoing</td>
<td>Monthly</td>
<td>EdOp Net list</td>
<td>Newsletter/email/website</td>
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<tr>
<td>CRSP Staff Directory</td>
<td>IMNC</td>
<td>September, March</td>
<td>Semi-annually</td>
<td>CRSP PIs/PMO/USAID/Other CRSP</td>
<td>Copy &amp; staple</td>
</tr>
<tr>
<td>Publication Order Form</td>
<td>IMNC</td>
<td>July, December</td>
<td>Semi-annually</td>
<td>CRSP mail database</td>
<td>Copy &amp; staple</td>
</tr>
</tbody>
</table>
Appendix 8. Quarterly Impact Reporting Form

Project name and institution:

Name of person completing form:

Reporting period:

1. Research Progress

Are your studies progressing according to schedule? (yes/no)

If no, please explain...

2. Institution Building—This section seeks information on benefits to host country and other international institutions.

Please tell us about meetings or conversations with host country scientists/government officials/extension agents/farmer organizations/farmers/NGOs through phone/writing/in person and the purpose of the meetings.

List new international colleagues involved in CRSP-related projects (name, gender, type of project).

List international personnel who left CRSP project and their new place of employment (if known).

Please describe physical improvements to host country institutions (pond refurbishment, new equipment, renovations, etc.).

3. Leveraged Funds—This section seeks information on leveraged funds or buy-ins. Leveraged funds are those from non-CRSP sources that contribute directly to PD/A CRSP objectives as well as funds for achieving non–PD/A CRSP objectives but generated as a result of PD/A CRSP achievements. Buy-in examples include grants, training, travel support, equipment, facilities, and other forms of provided services and supplies.

Please list the source, amount, and type of leveraged support.

4. Linkage Development—This section refers to professional and technical contacts you have had with international and US colleagues.

Have you established any new contacts with host country institutions, regional institutions, NGOs, or government agencies for technical or professional cooperation, whether in person, by telephone, or by email? If so, please describe.

Please list any conferences you have attended on CRSP funds or to present CRSP-sponsored research.
Please describe any contacts you have had with the USAID Mission.

5. Educational Activities

Please list students working on CRSP-funded projects. For new students, please list name, gender, nationality, start date, degree sought, and level of funding. Also list students who left the project in the current quarter (and note under item 7, Publications, any theses completed).

If you are a lecturer, please describe lectures you have delivered based on CRSP-sponsored research.

Please list seminars, presentations, or workshops given, including the location, date, name and subject of presentation, and audience.

6. Outreach Activities—This section refers to contacts with members of the public, either in the host country or the US.

Have you received requests from or had contacts with the public (for example, information requests)? Please describe.

Please describe any community or school outreach or extension activities you have been involved with.

7. Publications—Please list only those publications based on CRSP-sponsored research.

Please list any technical papers submitted for publication, including title of report, name of journal/report series, and language report was written in.

Have any theses been completed? (Please give full bibliographic reference.)

Book chapters submitted for publication.

Please describe any other informational material you have developed, including type, audience, language, purpose, means of distribution, and readership.

8. Other Items of Interest—What have we missed? For example, have you received an award or an invitation to speak, serve on a committee, or write a chapter or report?

9. Assistance from the Information Management Component

Do you have ideas for a brochure, pamphlet, poster, or video you would like to produce with help from the IMNC?