POLICIES OF THE NORTH CENTRAL REGIONAL AQUACULTURE CENTER

NON-ALLOWABLE COSTS

No monies can be spent on brick and mortar, indirect costs or tuition remission. In addition, no publication costs will be allowed on individual projects but these costs may be paid by the NCRAC Publication Office (see below under Publication Policy).

FEBRUARY 1988 AND JANUARY 13, 1989

POLICY FOR SALARIES ON PROJECTS

The NCRAC program does not ordinarily pay salaries for principal research investigators or extension specialists (PIs) who participate in funded projects. A priority of the program is to use PIs who are salaried on hard-money by their employing unit. The Board of Directors will consider, on a case-by-case basis, those situations during a period of 2-3 months in a year when that PI's hard-money contract does not pay salary (e.g., PIs on 9-10 month hard-money appointments). Salary support for secretaries, technicians and student labor and graduate student stipends are allowable on grants. In this regard, the intention of the Board of Directors will be to approve personnel budgets that have adequate support to accomplish the work proposed by PIs. Justification of request for personnel monies must be attached to budgets submitted in project outlines.

MARCH 2, 1991

POLICY ON BUDGETS

Project outlines must contain separate budgets for each objective. Project participants must itemize all line item amounts and provide written justification for each including personnel (see above under Policy for Salaries).

JANUARY 13, 1989 AND MARCH 3, 1991

POLICY ABOUT TRAVEL

Beginning with 2012 Work Group project outlines and all future funding cycles, the Board will require the travel budgets to include: (1) explanation on how it is related to the RAC mission; (2) a limitation to one person who can speak on behalf of the project to national conferences for reporting on project results to broaden potential impacts whenever feasible; and (3) a minimal amount of regional travel unless it is essential to completing project objectives or to deliver project findings to regional constituents. Computer and/or phone-based communication tools and technologies should be used whenever possible in lieu of travel.

June 4, 2013

POLICY FOR DEVIATION FROM LINE ITEM AMOUNTS ON SUB-CONTRACTS OR ACCOUNTS

If there are to be deviations from the budget line items that were approved in project outlines by both NCRAC and USDA then a letter requesting and explaining the reasons for the need of line item deviations must be written by the Principal Investigator(s) to the Director of NCRAC for approval.

OCTOBER 1, 1991

POLICY FOR EXTENSION INVOLVEMENT ON RESEARCH PROJECTS

All research projects considered or funded by NCRAC will include a person with Extension expertise, either directly as a project participant or as a liaison from the Extension Work Group. Their involvement will begin with the inception of project outline development. If the project receives funding, they serve as a permanent Work Group member throughout the life of the project.

OCTOBER 26, 1988

POLICY ON PROJECT PARTICIPANTS FROM OUTSIDE THE REGION
It is intended that funded project participants be from the North Central Region (NCR). However, if expertise is unavailable within the region, experts from outside the NCR can become project participants and receive NCRAC funds.

POLICY FOR MAILING LIST

The mailing list for those to receive the NCRAC Newsletter, called the NCRAC Journal, includes all U.S. congressional people, both House and Senate, from the North Central Region and any other "key" legislators who sit on important committees or sub-committees as well as key USDA personnel. In addition, key state persons such as legislators, aquaculturists, state agency personnel, university and private researchers, extension personnel, and sea grant agents also receive the newsletter. The list of key state persons is to be updated annually by the Extension Work Group members and submitted to the Center in January.

POLICY ON INTERACTION WITH PRIVATE INDUSTRY

Office of Aquaculture/USDA/Washington policy does not exclude subcontracting of funds to private industry. However, public funds of regional aquaculture centers are not intended for the use of developing proprietary information or patents to be held in the private sector. Private sector projects must relate to research or extension objectives selected as a priority in the normal project development process of the Center, and must go through the Center's normal peer review process and Board of Directors approval prior to funding. As a general policy, the NCRAC encourages cooperative research and extension programs with the industry that will be productive for the advancement of the aquaculture industry in the region. Such programs will ordinarily be implemented by research or extension specialists at non-profit institutions working cooperatively with industry personnel. The NCRAC will let subcontracts for approved work with the non-profit entity involved in these programs.

POLICY ON BOARD OF DIRECTORS MEMBERSHIP

The Board of Directors will consist of 11 individuals. There will be one representative from each of the two administrative universities, Michigan State and Iowa State; the North Central Region Agricultural Experiment Station Directors; the North Central Region Cooperative Extension Service Directors; and the aquaculture oriented, non-land grant institutions in the region. Those five representative members will serve 4-year terms and may serve more than one term. There will also be four Industry Advisory Council (IAC) members who will serve as voting members of the Board. The IAC Board members will serve 2-year terms and will be represented by the IAC Executive Committee. Chairs of the two subcommittees of NCRAC=s Technical Committee (TC) will also serve 2-year terms as voting members of the Board. The Board will elect a chair from the non-IAC and TC members to serve a 2-year term of office. A chairperson may serve more than one term in office. The Board may approve additional members from 1890 and 1994 institutions, Federal and State institutions, and non-profit private institutions in the region.

POLICY FOR INDUSTRY ADVISORY COUNCIL MEMBERSHIP

NCRAC's Industry Advisory Council (IAC) will consist of 18 individuals. There will be one regular member from each of the 12 state aquaculture associations in the region who will be elected by their membership. Members of the state aquaculture associations will also select an alternate who will participate in business of the Council on occasions when the elected (regular) member cannot do so. The Board of Directors will appoint six at-large members to the IAC to assure that various facets of the regional industry are represented on the Council. NCRAC Extension contacts in each state will be asked to submit a brief résumé for each of not more than two at-large nominees. The Board will select at-large appointees from among those nominated. Members of the IAC (including alternates) will serve 4-year terms and all members (including alternates) may serve for more than one term. There will be a rotation of membership.
Every two years, one-half of the state aquaculture association representatives and at-large members will be replaced or reappointed. Rotation of the state aquaculture association representatives will be in alphabetical order. A chairperson of the IAC will be elected by the members for a 2-year term of office and may serve more than one term. The chairperson is also a member of the IAC Executive Committee. The IAC Executive Committee are voting members of the Board of Directors.


**POLICY FOR TECHNICAL COMMITTEE/EXTENSION MEMBERSHIP**

The Extension Subcommittee of NCRAC's Technical Committee (TC/E) will consist of 12 individuals who represent the regional Cooperative Extension Service and/or Sea Grant College Extension programs, and who are appointed by CES directors from each state to serve as NCRAC aquaculture extension contacts. Membership longevity on the TC/E has no prescribed limit but every two years the CES Director in each state will be contacted to reappoint that state’s member to the TC/E, or to make a new appointment. This procedure is intended to allow for rotation of TC/E personnel in those states that have several aquaculture extension specialists. Members of the TC/E will elect a chairperson for a 2-year term of office. The chair will be a voting member of the Board of Directors as well as a member of the TC/E Executive Committee. A chairperson may serve more than one term in office.


**POLICY FOR TECHNICAL COMMITTEE/RESEARCH MEMBERSHIP**

The Research Subcommittee of NCRAC's Technical Committee (TC/R) will consist of 16 individuals appointed by the Board of Directors in a manner that provides appropriate representation to individual states, and a broad base of expertise in the various facets of aquaculture that are important in the North Central Region, including aquaculture extension. Nominations for positions on the TC/R will be solicited from directors of Agricultural Experiment Stations at universities in each North Central state. Aquaculture related units at other universities, and in state and federal agencies in the region, will also be asked to submit nominations. Each university or unit will submit no more than three nominations. Nominees will supply NCRAC with one-page curriculum vitae for use by the Board. TC/R members will serve 4-year terms and may serve more than one term. The 16 members will serve staggered terms; eight members will be appointed every two years. Members of the TC/R may be reappointed by the Board of Directors. Members of the TC/R will elect a chairperson for a 2-year term of office. The chair will be a voting member of the Board of Directors as well as a member of the TC/R Executive Committee. A chairperson may serve more than one term in office. OCTOBER 15, 1991, NOVEMBER 5, 1992, FEBRUARY 19, 1993, FEBRUARY 4, 1994, AND OCTOBER 12, 1999

**POLICY FOR MEMBERSHIP ON EXECUTIVE COMMITTEES OF THE IAC AND TC**

Executive Committees of NCRAC's Industry Advisory Council (IAC), Extension Subcommittee of the Technical Committee (TC/E) and Research Subcommittee of the Technical Committee (TC/R) exist for the purpose of conducting business on behalf of committees-of-the-whole. Executive committees may appoint ad hoc subcommittees.

Membership on executive committees will be determined by appointment or vote at the discretion of committees-of-the-whole. Members will serve for a period of two years. Individuals may remain on executive committees for more than one term. Committees-of-the-whole are responsible for insuring that any changes in composition of membership at 2-year intervals provides the degree of continuity that they desire, but also results in a rotation that allows suitable representation of geographic interests, as well as commodity, marketing and investment concerns, and extension and research expertise.
The Executive Committee of the IAC will consist of four members: the chairperson and three others. The IAC Executive Committee will be voting members of the Board of Directors. If one of the IAC Executive Committee members cannot attend a Board meeting, an alternate will attend on their behalf. The alternate member will be identified at the same time as are the four regular IAC Executive Committee members and will also serve for a period of two years.

The Executive Committee of both the TC/E and TC/R will consist of the chairperson and two others. The associate director of NCRAC will serve as one of the members of the TC/E Executive Committee. The director of NCRAC will serve as an ad hoc member to the IAC and TC/R Executive Committees as well as the TC/E Executive Committee, if the position of associate director is not occupied by an extension specialist. *If the chairperson of the TC/E or TC/R Executive Committee cannot attend a Board meeting, another member of the Executive Committee will attend on their behalf.*

**POLICY FOR PROXIES FOR THE BOARD OF DIRECTORS**

*Except as outlined above in the policy for membership in Executive Committees,* any of the members of the Board of Directors can appoint a person (in writing prior to a meeting) to serve as their proxy as long as that individual does not have any conflict of interest in regard to the working or administration of the Center nor is a recipient of NCRAC funds. The proxy shall also be from the same institution or group as the Board member they are representing, i.e., Michigan State University; Iowa State University; the North Central Region Agricultural Experiment Station Directors; the North Central Region Cooperative Extension Service Directors; aquaculture-oriented, non-land grant institutions in the region; and the Industry Advisory Council.

**POLICY ON ABSENCES**

All Board and other members of NCRAC are expected to participate in scheduled meetings. After two consecutive absences from program planning or Board meetings, without representation or proxy, the Director is authorized to take action to fill the position with a replacement.

**NO-COST EXTENSION POLICY**

*Per USDA/NIFA instructions:*

No more than one no-cost extension or an extension of more than 12 months is permitted per award. The actual extension is limited to the expiration date of the original USDA-NIFA award. The extension(s) request must be approved in writing by the Principal Investigator. The awardee should prepare and submit a written request (which must be received no later than 45 days prior to the expiration date of the USDA-NIFA award to the sub-award institution) to the NCRAC Director: Joseph E. Morris, NCRAC Director 339 Science II Department of Natural Resource Ecology and Management Iowa State University Ames, Iowa 50011-3221 Telephone: (515) 294-5280 Facsimile: (515) 294-2995 Email: ncrac@iastate.edu. It is important to note that funds from earlier years of a multi-year projects may not automatically roll into the following year as some projects are funded from multiple USDA-NIFA awards to Iowa State University.
POLICIES OF THE NORTH CENTRAL REGIONAL AQUACULTURE CENTER

The request must contain, at a minimum, the following information:

A. The length of additional time required to complete project objectives and a detailed justification for the extension;
B. A summary of progress;
C. An estimate of funds expected to remain unobligated on the scheduled expiration date;
D. A projected timetable to complete the portion(s) of the project for which the extension is being requested; and
E. Signature of the Principal Investigator (PI).

The NCRAC Director will evaluate the request and make the decision whether to approve the request within 10 days of receiving the request. Any request received by NCRAC that does not meet these requirements will be rejected. The final decision to approve or deny the request lies with the NCRAC Director.

POLICY ON COMMITTEE MEMBERSHIP REPLACEMENT

In the event that an individual resign from his/her NCRAC appointment, the Director is authorized to work with individual state aquaculture associations to select both a permanent and an alternate to serve on the NCRAC's Industry Advisory Council (IAC); at large IAC members as well as The Research Subcommittee of NCRAC's Technical Committee (TC/R) will be selected with consultation of the NCRAC Board of Directors. The Director is also authorized to work with regional Cooperative Extension Service and/or Sea Grant College Extension leadership to select replacements on The Extension Subcommittee of NCRAC's Technical Committee (TC/E). In the event that departing individuals are also members of the NCRAC Board of Directors, the Director will work with relevant committee membership to elect representatives on the Board to fulfill the remaining portion of the term of the departing member.

Conflict of Interest Policy

Any member of the IAC or TC who desires involvement in any capacity with proposed and funded projects may remain on the IAC or TC. However, any member who is funded by a NCRAC project or potentially may be funded by a proposal under consideration at the IAC/TC annual meeting must be excused during any deliberation or review leading to a vote related to said project or proposal. He/she is also excluded from any vote related to said project or proposal during any breakout sessions of the IAC, and Research and Extension Subcommittees of the TC. The chair of the session announces when final deliberation or review leading to a vote is to commence and excuses those with a conflict of interest. Further, an individual who has been identified with Conflict of Interest may still provide objective input into other projects under consideration. Receipt of individual input implies no conflicting affiliations or interests.

PUBLICATION ON POLICY

This Publication policy describes procedures to help regional aquaculturists achieve appropriate exposure for their work. NCRAC encourages persons to seek publication in professional journals, and in trade and technical publications. The Publications Office is the outlet for regional aquaculture communications. The Associate Director of NCRAC is in charge of the Publications Office.

NCRAC Publications Office
Department of Natural Resources Ecology and Management
Iowa State University
339 Science II
Ames, IA 50011-3221
Telephone: (515) 294-4622
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RESEARCH PUBLICATIONS

Research publications are refereed journal articles intended for the scientific community and knowledgeable practitioners of aquaculture. The statement below must appear on all journal articles whether supported in whole or in part with NCRAC funds; the grant number can be obtained from the Publications Office.

This publication is a result of work sponsored by the North Central Regional Aquaculture Center Program under grant number _______ from the U.S. Department of Agriculture. The U.S. Government and the North Central Regional Aquaculture Center are authorized to produce and distribute reprints for governmental purposes notwithstanding any copyright notation appearing herein.

The Publications Office will pay for reprints and page charges (within reason) for articles based on NCRAC-funded research if authors confer with the Publications Office before submitting manuscripts. If NCRAC agrees to pay for publication costs, the invoice for page charges and/or reprint orders should be sent to the Publications Office for processing.

NCRAC will pay the cost of up to a maximum of 50 reprints for the first author. The Publications Office will order additional reprints in sufficient quantity to satisfy the requirements of the Publication Policy of the National Aquaculture Coordinating Council.

NCRAC BULLETIN SERIES

The purpose of this series is to make available technical bulletins, periodic publications of progress on NCRAC-supported projects, manuals and other technical documents. The content of technical bulletins is to have scientific merit that is not necessarily appropriate for refereed journals. Guidelines and instructions for authors for this series are available from the Publications Office. Where appropriate, author(s) should work with the extension liaison(s) of their particular Work Group to prepare manuscripts. Documents in this series will be reviewed for content and style.

THESES AND DISSERTATIONS

A single copy of all theses and dissertations that are funded in whole or in part by NCRAC are to be submitted to:

NCRAC
Office of the Director
Iowa State University
339 Science II Building
Ames, Iowa 50011

Theses and dissertations can be considered for inclusion in the NCRAC Bulletin Series, if desired, by the author and/or major professor. A list of theses and dissertations will be maintained in the Publications Office for referral to interested parties.

EXTENSION PUBLICATIONS AND VIDEOS

Publications Based Upon NCRAC-Funded Research

The NCRAC Extension Work Group will help to publicize research through the North Central Region extension network and the NCRAC Newsletter. Researchers will work with project extension liaisons to prepare NCRAC extension bulletins and to keep the program informed of significant progress in research and extension activities. To have work published as a NCRAC Extension Publication, the following steps must be taken.
1. Before preparing a manuscript for a NCRAC Extension Publication, discuss concepts with the extension liaison for the research work group. At this stage, decisions are made to determine the appropriateness as an extension product, the intended audience, and a tentative schedule for publication. When the first author is an extension liaison, he/she should first discuss the publication with the work group and then the Extension Work Group.

2. Contact the Publications Office to determine guidelines for appropriate style and format and an estimated production schedule. The address for the Publications Office is listed above.

3. At least two NCRAC Extension Work Group members and one outside reviewer will evaluate each submitted manuscript. Author(s) may suggest appropriate reviewers. The decision to produce the material as a NCRAC Extension Publication will be based on reviewers’ comments.

4. Once NCRAC has accepted the manuscript, the Publications Office will arrange final editing and printing. The author(s) will have an opportunity to review and comment on the edited manuscript. The author(s) are responsible for submitting high-resolution copies of any artwork, figures, or photographs to be included in the publication.

5. Expected demand and an appropriate number of reprints need to be indicated to the Publications Office. The first author will receive a maximum of 50 copies from NCRAC. The Publications Office will order additional reprints in sufficient quantity to satisfy the requirements of the Publication Policy of the National Aquaculture Coordinating Council.

**Publications and Videos Based on Perceived Regional Needs**

Extension specialists are encouraged to submit publication and video ideas to the Publications Office that have regional applicability for aquaculture. Development of these products will need to follow the above five steps in order to become part of the NCRAC Extension Publication effort.

**OTHER PUBLICITY**

**NCRAC Newsletter**

Please keep NCRAC informed of newsworthy items stemming from NCRAC research and extension activities. The NCRAC Newsletter is an excellent vehicle for publicizing information about your activities throughout the region. Submit materials for the NCRAC Newsletter to:

NCRAC Publications Office  
Iowa State University  
339 Science II  
Ames, IA 50011-3221  
ncrac@iastate.edu

**Mention of Participants and Programs**

Please provide both the Office of the Director at MSU and the Publications Office with any newspaper, newsletter, or magazine articles that mention participants and programs of the NCRAC. These materials are important for maintaining good communication linkages with the Center’s clientele groups.

**Photographs**

Photos of NCRAC research and extension activities (principal investigators, extension specialists, students, technicians, meetings, activities, slide presentations, sites, etc.) are always appreciated. They should be sent to the Publications Office. Any photographs used will be properly credited.

SEPTEMBER 1991; FEBRUARY 16, 2001; updated JULY 2010 in reference to new technology
POLICIES OF THE NORTH CENTRAL REGIONAL AQUACULTURE CENTER

GUIDELINES FOR EXTENSION INVOLVEMENT IN THE
NORTH CENTRAL REGIONAL AQUACULTURE CENTER

BACKGROUND

The goal of the USDA Regional Aquaculture Center's (RAC) program is the enhancement of sustainable, profitable commercial aquaculture production and allied industries to benefit producers, consumers and the American economy. To accomplish this goal, funded projects are directed at high priority industry needs that include development of new technologies and application of research findings that will benefit diverse constituencies. The process involves scientific research as well as professionally designed and implemented educational outreach programs developed in close collaboration with industry.

The following guidelines will enhance the integration of research and extension activities into all projects. They also highlight Extension's diverse capabilities for participation in the RAC program and encourage development of coordinated educational programs and services that will benefit diverse audiences.

The guidelines are intended to assist persons and actions associated with the design, approval and implementation of RAC funded projects. Each RAC is encouraged to add more specificity and make amendments as appropriate to address any additional needs/issues that are not adequately presented. The development of clearly defined accountability standards and measurements to assess project impacts is also suggested.

RECOMMENDED GUIDELINES

The following recommendations are presented for various topics and issues that involve extension outreach participation in RAC funded projects. The recommendations were developed by a team of Aquaculture Extension specialists from each of the five RACs in collaboration with each of the RAC Directors and the Extension Service National Program Leader.

1. Research Projects

   A. An extension professional should participate in the Work Group phase of project proposal development to determine recommended mechanism(s) for information dissemination of research findings and/or outreach activities that facilitate commercialization, technology adoption or decisionmaking benefits by industry constituencies and other targeted audiences, i.e., consumers.

   B. Outreach should be accomplished in a timely manner and under terms agreeable between research and extension scientists, and involve industry consultation to effectively fulfill the RAC program goal. (All involved should understand the importance for timely dissemination of significant findings to industry and consumer audiences as well as academic or peer groups.)

   C. The process of research information translation, dissemination, and associated outreach activity should be assured an adequate level of funding to “complete” any project or project objective by extending the appropriate research “benefits” to the intended beneficiaries.

   D. The scope and specifics of any extension component in a research project should be determined by the technology transfer or educational outreach needs required to effectively reach and impact diverse constituents in a region.

2. Field Trials and Demonstrations

   A. Extension professionals should seek to facilitate and/or become involved in field trial, demonstration and/or validation projects under commercial conditions.

   B. On-farm trial and demonstration projects should involve partnerships with researchers and private sector participants for effective project design and technology transfer or validation of research study findings.
C. Adequate funding and support should be made available to promote adoption of new, benefitting technologies and practices by industry audiences using traditional extension on-farms method and result demonstrations.

D. The feasibility for on-farm outreach activities should be carefully assessed for each RAC funded project.

3. Evaluation of RAC Projects

A. An extension professional, along with an industry and research representative, should be designated to track the progress of all RAC funded projects to determine when and by what method(s) any significant findings or results should reach industry constituencies.

B. Each RAC funded project should have one or more extension professionals who are responsible for updates and communications from the research scientist(s) and known by other extension staff in the region as a conduit for information specific to an assigned research project.

C. Each RAC project should include a final evaluation that includes assurances that an adequate effort is made to inform and reach end-users with significant findings and results.

D. The evaluation process is less critical in cases where regular RAC communications and project updates are provided and disseminated widely.

4. Coordination of Extension Projects Among Regions

A. Information on RAC funded extension-related projects should be shared between Regions in a timely manner to avoid duplication of effort, identify model programs that can be expanded multi-regionally or nationally and assess any opportunities for interregional coordination.

B. The Extension Service National Program Leader (NPL) will share extension-related projects and proposals from all RACs with a person designated by the RAC Directors as the chair or leader of the Extension Subcommittee or Work Group so this information can be shared with extension professionals in a Region at the time when new or revised extension-related proposals are developed.

C. Summaries will also be provided to extension professionals nationwide by the NPL through normal written and electronic communications to apprise state extension programs of planned activities and new educational products that may be of interest or benefit.

5. Distribution of RAC Publications and Videos

A. Each RAC State Extension contact should receive all RAC-funded educational products per the National Coordinating Council's Publications Guidelines in a timely manner.

B. Each RAC State Extension contact should be able to provide any requested RAC product to state constituents or have an agreement for referrals with another RAC Extension contact in the Region who will provide materials to requests from outside their state or territory.

C. Each RAC Extension contact should apprise constituents and colleagues of the availability of new, appropriate RAC products to assure dissemination.

D. Any problems with the dissemination of RAC products should be brought to the attention of the RAC Director and Extension Service National Program Leader so appropriate steps can be taken to provide distribution services to interested persons.

6. Assessing Industry Needs

A. Extension professionals involved with the RAC Technical Committees are encouraged to interact closely with State Aquaculture Associations and other trade organizations to help identify or reinforce high priority industry needs.

B. Written recommendations may be requested by extension personnel from industry trade organizations for referral and guidance at RAC Technical Committee meetings.
7. Supportive Resources

A. Extension professionals are involved in an array of activities some of which may include research and teaching for those with joint research/extension/teaching appointments. Most extension budgets cover only salaries, in-state travel and equipment for communication use at work stations. To perform work outside a state or to engage in responsibilities beyond those associated with state or county extension programs, additional external funding is usually required.

B. Involvement in RAC extension projects often creates increased work loads because of added regional involvement in addition to current full-time obligations to state or local constituents.

C. As appropriate, RAC funding should be made available to support Extension Associates similar to funding provided for Research Associates or graduate students. This provides an option to expand extension's contribution to fulfilling RAC's goal and lessens many already over-extended work loads.

D. RAC funding should support the development of timely publications, manuals, computer software programs and other educational support materials as identified and justified to fulfill the RAC mission.

E. RACs should support extension directed projects that are identified as high priority by the extension community and research and industry groups that involve research and demonstration activities associated with industry input and cooperation.

8. Implementation

A. The approved Guidelines should be shared with research and extension scientists and industry representatives throughout the RAC orientation and project development process.

B. Extension professionals throughout a Region with diverse skills and subject matter expertise should be encouraged to participate in RAC projects. However, involvement will depend on personal commitments and availability of adequate RAC supportive resources.