

SERG International

TERMS OF REFERENCE

Preamble

SERG International is an association of forest management, regulatory and research agencies, and pesticide suppliers, interested in forest pest management. The primary aim of SERG-I is to improve application technology and pest management methods associated with the use of pest control products in the context of integrated forest pest management. SERG-I facilitates efficient use of resources by providing a co-ordinated scientific approach to research to meet the needs and priorities of forest managers. Through this co-ordinated approach, members of SERG-I are able to pool their resources, leverage other sources of funding, and work cooperatively to conduct research and share results amongst the members.

SERG International will co-ordinate research in the following areas:

1) **Forest Pest Management Products:**

Product efficacy - including conventionally applied products as well as the development of alternative tactics such as viruses, nematodes and biological herbicides, etc.

2) **Improvement of Application Technology and Techniques:**

Application technology - including aerial and ground based application techniques which provide improvements in environmental and efficiency goals.

3) **Environmental Impact and Benefit of Forest Pest Management:**

Fate of applied products in terms of deposit, drift, impact and behaviour in the environment including impacts on biodiversity and ecological processes.

4) **Developing Forest Pest Management Strategies:**

Develop working strategies for the management of forest pests.

5) **Technology transfer:**

Transferring results of SERG International research to forest managers.

Steering Committee

SERG International activities will be directed by a Steering Committee. It will:

- 1) Develop and maintain the SERG-I Strategic Plan.
- 2) Identify and prioritise research, development and technology transfer on an annual basis.
- 3) Identify and develop potential partnerships for SERG-I particularly in the areas of pest management, regulation, economic benefit, communications, new technology, and stakeholder needs (e.g. forest industry).
- 4) Solicit proposals and funding for project priorities
- 5) Co-ordinate application technology and efficacy research
- 6) Promote outreach activities such as workshops, a SERG-I website and distribution of research reports to enhance the interchange of information among the participating organisations as well as between SERG-I and researchers and user groups in other locations.
- 7) Provide advice and recommendations to the various organisations which participate in or have interest in the activities of SERG-I.

Membership:

Provincial representatives, along with the SERG International Executive Director and a representative of CFS-Headquarters and the USDA-FS shall form the Executive. A province must be a full member to sit on the Steering Committee.

Executive Members as of April 1, 2008 include:

Province of Alberta (ASRD)
Province of British Columbia (BCMFR)
Province of Manitoba (MNR)
Province of New Brunswick (FPL)
Province of Newfoundland (DFRA)
Province of Nova Scotia (NSDNR)
Province of Ontario (OMNR)
Province of Quebec (SOPFIM)
Province of Saskatchewan (SERM)
Canadian Forest Service – Headquarters
USDA-Forest Service

Executive members will contribute equally to the cost of maintaining the SERG-I Executive Director and the administrative expenses to run SERG-I. Executive members have voting privileges on the Steering Committee. In addition, they set the strategic direction for SERG-I and participate in the annual prioritisation of work areas.

ASSOCIATE MEMBERS of the Steering Committee shall include representatives of organisations able to conduct, benefit from or support spray efficacy research and interested in co-ordinating their efforts. Associate members do not have voting privileges, nor do they participate in establishing the strategic direction or research priorities of SERG-I.

Associate members cannot contribute to the cost of administering SERG-I but are encouraged to sponsor research projects

Associate Members as of Dec 3, 2007 include:

BioForest Technologies Inc.
Certis USA
C.F.S. - Atlantic
C.F.S. - Great Lakes
C.F.S. - Laurentian
Dow AgroSciences Canada Inc
Micron Sprayers Limited
Monsanto Canada Inc
Pest Management Regulatory Agency
Sylvar Technologies Inc.
USDA-ARS (College Station)
Valent BioSciences Canada

Other organisations may be invited by the Executive to participate as appropriate.

Each organisation shall have one representative on the Steering Committee. Additional representatives may attend as observers and to provide expertise as needed. Additions can be made to the member organisations of the Steering Committee upon approval of the majority of the Executive.

The Executive Director of SERG-I will be the Chair of the Steering Committee.

Additional individuals or organisations may become associated with SERG-I without becoming Voting or Associate members of the Steering Committee, by writing to the Executive Director with a request to be included on the SERG-I mailing list. All those included on the mailing list will be notified of the annual workshop and will receive

the updated SERG-I publication list and the annually updated Strategic Plan and Research Priorities.

Overhead and Administration Expenses:

Overhead costs for SERG-I, including the fees for the Executive Director, the Executive Director's travel expenses and administrative costs, will be shared equally by the Executive Members of the Steering Committee. The budget for the coming year will be established by the Executive previous to March 31 of the current year.

Disbursal of Surplus Funds:

1. A majority of SERG-I Executive committee members (see Note 3 for exception) is required for SERG-I surplus funds to be disbursed.
2. Any proposal by an Executive Committee member for use of SERG-I funds must be circulated to the Executive Committee and Director at least two weeks prior to the SERG-I meeting at which it is to be tabled. Members who will not be present at the meeting will have up to one week prior to the meeting to submit their vote to the Executive Director.
3. Any member who does not submit a vote by the due date, will lose his/her voting right on the proposed motion. Majority will then be relative to the remaining voting membership.

Meetings:

Meetings of the Steering Committee shall be held at the call of the Executive Director, after consultation with the Executive, but shall be held at least two times per year.

1. Each year, \$2000 of each member's annual SERG-I fee will be set aside for that member to use for SERG-I travel. Travel to the SERG-I project evaluation meeting (Feb) is mandatory.
2. Each member's unused travel will be carried for two years at which time it will be moved into the SERG-I general revenue.

The agenda for meetings shall be determined by the Executive Director, in consultation with Steering Committee members.

Minutes shall be taken of all meetings and distributed by the Executive Director to all members of the Steering Committee.

A workshop will be held annually.

Workshop:

The annual workshop will normally be scheduled in the early fall, in order to meet proposal submission deadlines of November 1. The results of the current year's

research will be presented.

Updates to the SERG-I Publication List, and abstracts of all reports received in the previous year, will be distributed at this time.

The Executive of the Steering Committee will meet to update the Strategic Plan and set the Research Priorities for the coming year. The Plan and Priorities will be distributed to all workshop attendees, initiating the solicitation of research proposals for the coming year.

The location of the workshop will rotate among the member provinces (i.e. the Executive). The host province will co-ordinate and pay for the normal facilities required for the workshop including secretarial services.

APPENDIX A

Proposal Format Specifications

- General:**
1. Title:
 2. Principle Investigator or Agency:
 3. Contact Person:
 4. Telephone Number:
 5. Address:

Executive Summary

- SERG-I project area addressed
- objectives of study
- budget requirements and other potential funding sources
- names of suggested reviewers from outside the proponent's agency

Objective:

Clear and concise statement of objective.

Background:

Identify the problem/opportunity of concern and how it relates to concerns within the SERG-I framework. Outline the magnitude of the impact of the project if successful and if not undertaken. Identify the specific solution required. Identify any previous funding received and progress to date.

Participants:

Identify the roles of both researchers and user agencies involved in the project as well as the level of support and participation throughout the project.

Methodology:

Identify all relevant details including method of implementation, number of personnel involved, location, anticipated completion date, etc.

Deliverables including Timing and Reporting Milestones

Identify measurable outputs to be produced by which the success of the project may be evaluated and the manner in which these will be presented. **Note: Final SERG-I report is due by Feb 01 of year following acceptance of proposal.**

Financial

- (a) Budget requirements - provide a breakdown of expected expenditures, i.e. salaries, related travel, materials, printing, etc.
- (b) Identify committed funding and in-kind contributions from all sources (Note: SERG-I is not a funding agency. Identify individual funding members of SERG-I).
- (c) Forecast budget requirements for future years (where applicable) including level of

investment by all participants.

APPENDIX "B"

SERG International Proposal Review Procedures

The Executive will review the SERG-I Strategic Plan annually, update it as required, and set Research Priorities for the following year. Specific priorities, and the level of funding anticipated for each, will be identified whenever possible. The updated Strategic Plan and Research Priorities will be distributed, normally at the time of the Annual Report and announcement of the SERG-I Workshop. Specific agencies may be asked to submit proposals for certain projects or an open public call for proposals may be used for other work areas.

Concept and final proposals (in the format detailed in the Proposal Format Specifications section of this document) will be accepted up to the date set by the Executive Director in his call letter. The research proponent may be invited at the discretion of the Executive to be present when a particular proposal is being reviewed.

Stage I Review

Members of the Steering Committee will review the executive summaries of the proposals to determine the proposal's compliance with the Strategic Plan and Research Priorities, and to identify the funding potential for the proposed research. This review will be completed no later than the end of the Forest Pest Control Forum week. Only proposals approved at this stage will receive further consideration at Stage II.

Stage II Review and Funding

The Executive Director will obtain at least two reviews of each proposal – one from a scientist and one from a user. The final proposals and the reviewers' comments are then provided to the Steering Committee to determine which projects will receive funding for the coming year.

Conflict of Interest Guidelines

Recognizing that members of the SERG-I Steering Committee may also be participants on SERG-I-funded projects, the following rules will apply:

1. said members will declare themselves in conflict when evaluating SERG-I proposals (Stage II – Terms of Reference) of which they are a collaborator or which have the same scientific goals as SERG-I proposals/ projects of which they are a collaborator.
2. project-team members will be excluded from the Stage II evaluation of their SERG-I project.

Rules for SERG-I Stage II Evaluation

1. Prior to the Stage II evaluation meeting, principal investigators will be notified of the date – time for the SERG-I review.
2. Principal investigators will avail themselves, either in person or by telephone, for questions that may arise during the Stage II review.
3. Attendance to the full review meeting will be restricted to the SERG-I Steering Committee, their alternates and invitees.
4. The Stage II review meeting will have both a public component during which specific questions relating to project proposals will be discussed and a component open only to those people designated in part 3.

SERG-I is not a funding agency with an allotment of money to be awarded through a competitive-process. Rather, SERG-I provides a means for the members to work cooperatively on research projects through the sharing of expertise, financial resources, in-kind resources, staff, and the results to achieve common goals in the area of spray efficacy and pest management methods.

At Stage II, the Steering Committee will review the final proposals and the comments of the reviewers in considering the proposals for funding by the members. Each individual member will decide which specific proposals to support, and what type (e.g., financial, in-kind, coordination, advisory) and amount of support will be provided. Opportunities for cooperation and efficiencies will be explored and encouraged by the Steering Committee.

Proposal Endorsement and Conditions

The Executive Director will inform each proponent in writing of the status of the proposal (e.g. approved, not approved, approved with conditions, or revise and re-submit). Proposals approved at Stage II will be assigned a Project Number, and a Project Leader from the Steering Committee. The Project Leader shall provide the Executive Director with a signed commitment (funding, in-kind) from all contributors to the project. The Project Leader will ensure all SERG-I contributors are aware of their obligations and coordinate the pooling of any resources.

SERG International research projects will be completed according to SERG-I Field Guidelines.

For most Projects, the SERG-I Project Leader will arrange for a holdback of 30% of funds. This holdback will be released upon receipt and acceptance by the Project Leader of the final Report. Proponents are expected to manage their finances by taking this 30% holdback into consideration. Each year, a project report must be received and accepted by the funding agencies before funding will be granted for subsequent years.

APPENDIX C

SERG International Report Format Specifications

Interim Report Guidelines

Interim report requirements for multi-year projects will be stipulated by the SERG-I Steering Committee Project Leader (Terms of Reference) at the time of project acceptance and funding (Stage II). As a guide, multi-year projects involving field trials will require a full report each year as stipulated below. Multi-year projects with sub-projects spanning more than one year will require a report reflecting the level of importance in achieving the overall objectives of the project.

Final Report Guidelines

Final Reports are expected to follow the Report Guidelines established by the Canadian Forest Service - Atlantic Region.

They will be written in plain, understandable language and terminology.

It will be the (senior) author's responsibility to identify any disclaimers on the front page of the report (e.g. do not cite, do not copy, refer all questions to author, etc.)

Unless the (senior) author specifies otherwise, a copy of the report will be filed with CISTI and distributed by the SERG-I Executive Director upon request.

Only FINAL SERG-I reports will be bound in SERG-I Covers and be submitted to CISTI.

Copies of final reports will be distributed by the (senior) author in the following manner:

1. All Steering Committee members will receive one copy each (names and addresses of members can be obtained from the Executive Director)
2. the SERG-I Executive Director will receive 30 copies, one for the SERG-I file, one to be filed with CISTI, and 28 to fill future requests.

Additional copies must be obtained only from the (senior) author.

The report must include a bilingual executive summary; translation is the responsibility of the author(s).

The report must be signed-off by the (senior) author's manager.

The funders of the project will arrange for a review of the final report.

The 20% funding holdback will not be released until the final report is received and accepted.

For projects where a holdback is not practical, the Executive Director may use other means of ensuring a final report is provided. These may include, but are not limited to, written requests to the proponent, requests to the proponent's manager(s), or requests from other contributors to the project, asking that the proponent meet the terms of the contract.

Report Distribution

A complete list of SERG-I publications will be updated annually, and the updates, along with bilingual abstracts from reports received in the previous year, distributed to all those on the SERG-I Mailing List at the time the SERG-I Workshop is announced. Limited copies of reports will be available from the SERG-I Executive Director. Copies of the bilingual abstracts will be available on the SERG-I Web Site.

APPENDIX D

SERG International Executive Director Responsibilities

Overall Responsibility

Under the authority of the executive members of SERG International, the Executive Director has the responsibility to plan, organize, manage and control all the activities defined in SERG-I's Terms of Reference.

Specific Responsibilities

1. Chairs the SERG-I Steering Committee: liaises with other research organizations/networks; and as stipulated in SERG-I's Terms of Reference, ensures that meetings of the Steering Committee are held as required, workshops are held annually, research proposals are submitted for review either by request or letter call, and research reports are submitted and distributed.
2. Maintains a contractual type system with milestones for all new research projects to ensure compliance to report production schedules.
3. Calls periodic meetings of the Steering Committee and sub-committees as required to identify problems and opportunities, prepare research proposals, plan research activities, and recommends priorities accordingly.
4. Ensures distribution of research reports and facilitates communication and collaboration among scientists, applicators, and forest managers.
5. In consultation with the Steering Committee, assists the Executive in updating annually, a strategic plan which includes each activity area addressed by SERG-I, clearly identifying individual studies and defining general and annual objectives.
6. Maintains and circulates to the Steering Committee a status report on publications and reports prepared or anticipated from studies conducted under the aegis of SERG-I.
7. Represents SERG-I at meetings and submits reports to the Steering Committee.
8. Ensures that minutes for Steering Committee Meetings are taken and distributed.
9. Reviews progress on current research studies under the aegis of SERG-I.
10. Presents new research proposals recommended by the Steering Committee and distributes them.
11. Identifies potential sources of funding for research proposals and, where appropriate, assists the Steering Committee in obtaining commitments from these sources

12. Relays the decisions and recommendations of Steering Committee to the SERG-I Mailing List and proponents.
13. Stimulates communication among the members to share resources such as staffing, aircraft contracts, specialized computer hardware/software, application techniques, etc., on future project basis
14. With the support of SERG-I members, facilitates a Forest Industry-SERG-I communication link.
15. Produces a 1-2 page annual newsletter, summarizing SERG-I activities to be distributed to SERG-I members and widely other stakeholders.
16. Maintains the SERG-I website.
17. Prepares an annual Executive Director's operating budget for consideration by the Steering Committee previous to December 31 of the expiring fiscal year.