

AD-419 Reporting for 2007

Overview

The purpose of this report is to provide the United States Department of Agriculture (USDA) information of how well Cooperative State Research, Education and Extension Service (CSREES) funding - sometimes referred to as Agricultural Experiment Station or AES funds - is leveraged with other research funding. To simplify this task, the College of A&ES provides a web-based computer program to CA&ES and CBS departments to assist in the process of producing this annual report. The essence of the program is to provide the mechanism and data necessary to link non-CSREES research related expenses to the most appropriate CSREES research project or projects (i.e. Hatch, Multistate, or Animal Health) within the department. The program is capable of generating PDF viewable and hard-copy reports generated at the conclusion of the departmental “expense to project” association process. In most cases departments are able to complete this report in less than two hours.

The computer program automates many of the processes formerly done manually. Departments no longer need to perform calculations or pro-rations in assigning expenses to projects since the program performs this function. Instead, the program allows **the user to focus on the task of associating the research expenses within the department to the most appropriate CSREES research project or projects**. During the process in which the user associates expenses to projects, the program generates the necessary calculations, pro-rations (including employee FTE), and other computations necessary to produce the AD-419 “on the fly”. This means that the user can view the individual and department-wide AD-419 reports during the process that expense to project associations are made.

The expenditure data to be associated with the departmental/unit projects includes all 2006-07 fiscal year expenditures within chart 3 accounts that have a DaFIS Higher Education Function code of “ORES” (research expenditures). In addition, certain Chart L expenditures are included in cases where a CE Specialist is a PI of one or more CSREES projects.

The program rounds expenses to whole dollars, FTE to tenths and negative amounts to zero once the final project report is created.

Basics of Program

Because the program is web-based the program can be accessed by any authorized individual who has a connection to the Internet. Those with access are limited to the department to which they are affiliated. Departments have previously provided the Dean’s Office with the names of individuals who have authorization for their particular department. Once connected to the Internet, individuals need to:

1. enter the URL, <https://secure.caes.ucdavis.edu/AD419/> after which a screen should appear which prompts the user to,

2. enter their campus Keberos log-in id and password. This login information is the same as needed to access the MyUCDavis web-page.

The “AD-419” program home page should then appear that includes an option to enter the Reporting Module or Instructions. Although not required, it is recommended that users review and/or print out the instructions prior to using the program. To use the program, the user accesses the Reporting Module. Once within the Reporting Module the user can navigate between three screens using the three tabs at the upper left-hand corner of each screen. The three tabs are titled *Projects*, *Associations*, and *Reports*. By default, the user is placed in the *Projects* screen. Each of the three screens is explained below:

Projects Screen. See screenshot “A”, near bottom. There are four sections to this screen. Near the top is a menu bar with tabs that access the three possible screens (*Projects*, *Associations*, and *Reports*). Directly below the tabs should be the name of your department.

In the upper left-hand quadrant of the screen is information pertaining to the total departmental research expenses and research-related FTE that need to be considered for association with one or more Agricultural Experiment Station projects. This section contains 3 columns and 3 rows of expenditure, FTE and record information. Note the row labels of “Total”, “Associated”, and “Unassociated”. To reduce departmental workload, the Dean’s Office has previously associated certain expense to project associations, including report lines 201, 202, 204, 205, and 22F. The associations previously made include the salaries and FTE of PIs with one or more CSREES research projects, as well as Field Station expenses. Remaining unassociated expense and FTE records appear as “unassociated” and need to be associated. Once the user begins the process of associating expenses to projects, the amounts in the “unassociated” row will decrease while the amounts in the “associated” row will increase. Ultimately, the goal is to make a good faith effort to associate the remaining (unassociated) expense records and FTE to the most appropriate CSREES research project or projects.

In the lower left-hand quadrant of the Projects screen is information specific to each departmental CSREES project that is subject to having expenses/ FTE associated with it. Within this area, note the pull down list adjacent to the Project ID label. From this drop-down list it is possible to select and view information (e.g., P.I., Project Title, type of project) for each of the CSREES projects within the department/unit.

On the right-hand side of the *Projects* screen is a layout of an AD-419 report. Note that there are four “label” boxes at the top of this layout. The first three boxes, labeled “totals”, “associated”, “unassociated”, provide expense / FTE information for the department as a whole. The fourth box, “project”, provides a view of the expenses / FTE associated with the selected research project.

Note that the “Projects” screen is not the screen through which the expense to research project associations occur. That process occurs in the screen that is accessed via the “associations” tab (located in upper left-hand corner of all three screens).

Associations Screen. See screenshot “B”, near bottom. This screen is used to perform the actual expense / FTE record associations to one or more projects within your department. There are three main sections within this screen. The left side of the screen contains a listing of expense records that need to be considered for association with the appropriate CSREES research projects listed on the right side. Near the upper left portion of the screen note the drop-down box titled “Expense Record Grouping”. This important feature provides the flexibility to sort the same expense records in six different categories (or views), including **ORGANIZATION, SUB-ACCOUNT, PRINCIPLE INVESTIGATOR, ACCOUNT, EMPLOYEE, AND NO GROUPING**. Which category to view expenses, and in what order, is discussed later under “strategy”. Directly below the “Expense Record Grouping” label are two check boxes, “Associated” and “Unassociated”. “Checking” these boxes gives one the ability to view only expenses that are already associated, only expenses that are still unassociated, or both associated and unassociated expenses. Since the user will normally want to know the expense records that still need to be associated with the appropriate research project(s), it is recommended that the only box “checked” should be the one labeled, “Unassociated Records”. Note the check box directly to the right of each expense record. The user will check this box for each expense record that is to be associated with one or more projects. One or more expense records can be checked in cases where multiple expense records are to be associated with the same research project(s).

The research projects subject to association with selected expense records are located on the right-hand side of the *Associations* screen. The projects will be available for associating (i.e., the project check boxes turn from grey to white) once one or more expense records are selected on the left-hand side of the screen. The user will then mark the check box(es) for the research project or projects to be associated with the expense record(s). Once the user has indicated at least one expense record and one project using the check box(es), the user directs the program to make the association by depressing the “ASSOCIATE Selected Record(s)” button. If more than one project is selected the system by default will equally pro-rate the selected expense records (and FTE, if applicable) among the projects selected. For example, if the user selects two projects, the selected expense record(s) will be distributed on a 50/50 basis between the two projects; if three projects are selected, the split will be 1/3 for each project, etc. Alternatively, the user has the option to use the % indicator box to associate specific percent amounts between multiple projects. In such cases, the system will notify the user if the total percentage indicated among the selected projects does not add to 100%. Once an expense to project association is made and the user has depressed the “Associate Selected Record(s) button, the system automatically saves that association and moves the expense record from the “Unassociated” view to the “Associated” view.

As the association process involving expense records and CSREES research projects progresses, the user is able to view the decrease in the total “unassociated” expenses, and the increase in the total “associated” expenses. If needed, the program will allow the user to “unassociate” expenses already made to projects. To do so, the user selects the expenses that are currently “associated” that need to be undone. After verifying that the existing “expense to project” associations should be unassociated, the user depresses the “Unassociate Selected Record(s)” button on the upper right side of

screen. Once disassociated” the expense records will once more appear in the “Unassociated” totals.

Reports Screen See screenshot “C”, near bottom. At this time the report options are limited to two “drop down” box selections:

1. Project AD-419, which provides the option to view and/or print all of the individual departmental projects, and
2. Department AD-419. This option provides the ability to view and/or print the departmental summary for all research projects.

When the association process is completed – meaning that that there are “0” Unassociated expenses, departments/units should generate two hard copies of the individual and summary reports. After signing/dating the summary page (no need to sign each project page), forward one set to Alyssa Gartung at the Dean’s Office. The other copy should be retained for departmental/unit records.

Strategy when making expense to project associations within the “associations” screen

Prior to using this program, the CA&ES D.O. will generate and provide to departments a spreadsheet containing the departmental/unit CSREES research projects, sorted by P.I., that are reportable on the AD-419. This information should be useful since it provides an easy reference of the names of PIs, by their CSREES research project(s).

Below is a recommended strategy in associating expense records to projects. **In order to meet the intent of the USDA in preparing this report, it is important that the user make reasonable efforts to associate expense records to the appropriate project or projects.** The steps that can achieve this goal are the following, in sequential order:

1. Note that under the “Employee” view of the Association tab, the CA&ES Dean’s Office has previously associated the salary and FTE of PIs across their research project(s). DO NOT unassociate these expenses without first contacting the Dean’s Office and notifying us of the reason for the “unassociation”.
2. Where there is a reasonable basis for doing so (e.g., P.I. view, Organization view, Employee View, etc) associate the remaining expense records with the appropriate project(s). This will be demonstrated during the workshop.
3. Associate any remaining expense records among all the projects, using the “universal” pro-ration option, when the remaining expense records cannot be reasonably identifiable to specific project or projects.

Implementation of Strategy

For step 2, above, consider which of the expense record grouping(s) will be the **most** efficient in identifying the remaining expense records to specific CSREES project(s). Departments/units that extensively use DaFIS “organizations” to identify faculty cost centers will want to select the Organization grouping. Department/unit that extensively use DaFIS “Principal Investigator” to identify faculty cost centers will want to select the *Principal Investigator* grouping, and so forth..

Once an appropriate “grouping” selection has been made, the user should proceed to associate the remaining expense records to the specific project or projects, to the extent reasonable. It is reasonable to assume that users will want to use several different “grouping” options to identify the proper “expense record to project(s)” associations. The user can also use the *Employee* grouping to help identify remaining personnel expenses with project(s).

At the completion of step 2, the only “unassociated” expense records remaining should be those which cannot reasonably be associated, after viewing the available “grouping” options, with some identifiable subset of the available projects. At this point the user can select all of the remaining expense records, then select all of the projects to which they wish to pro-rate the selected expenses. To easily select ALL of the research projects the user simply needs to perform a “left-click” on the “0” check box column header for project records. If this operation is done correctly all of the project records will be selected. The user can then simply select the “Associate the Selected Record(s) button to pro-rate the remaining expenses among all of the projects.

Miscellaneous

- The AD-419 report is **not** used in any way to generate the amount of departmental funding via the RAC formula process
- Once expense to project associations has been made, the database automatically retains those associations unless they are disassociated. Users do not need to separately “save” the results of their efforts at the end of a session, or the end of a day; the system does that automatically.
- Upon completion of the association process call or e-mail Steve Pesis (2-7573 or scpesis@ucdavis.edu)

Screenshot “A”

AD-419 Reporting Module - Mozilla Firefox

File Edit View History Bookmarks Tools Help

https://secure.caes.ucdavis.edu/AD419/reportingModule.aspx

Getting Started Latest Headlines

MyUCDavis AD-419 Reporting Module

AD-419

AD419 Home > Reporting Module

projects associations reports

Department: -- All Departments --

	SPENT	FTE	RECS
Total	\$165,281,991.72	1634.24	13861
Associated	\$52,827,929.62	368.09	3011
Unassociated	\$112,454,062.10	1266.15	10850

FISCAL YEAR 2007

Projects: 532 Active 34 Expired 566 Total

ProjectID: CA-D*-ARE-6377-H Accession#: 0178704

Investigator(s): Heien, D. M.

Beginning Date: 10/1/2002 Termination Date: 9/30/2007

CRIS Status Type: E CRIS Project Type: H

Regional Project Number: CRIS Funding Type: N/A

Project Title / Description: Economic Analysis of the World Wine and Grape Economy

totals	associated	unassociated	project
Line Description	SFN	Total	
CSREES ADMIN FEDERAL RESEARCH FUNDS			
Hatch Funds	201	\$832,963.90	
Multi-State Research Funds	202	\$271,787.12	
McIntire-Stennis Funds	203	\$0.00	
Contracts, Grants, Research Coop Agreements	204	\$9,305,091.81	
OtherFunds(AnimalHealthSec1433,Evans-Allen)	205	\$7,370.99	
Total CSREES Admin Research Funds	231	\$10,417,213.82	
OTHER FEDERAL RESEARCH FUNDS			
USDA Contracts, Grants, Coop Agreements	219	\$5,464,763.77	
National Science Foundation	209	\$14,325,929.21	
Department of Energy	310	\$1,188,577.28	
Agency for International Development	308	\$977,709.48	
Department of Defense	311	\$460,703.44	
National Institutes of Health	316	\$23,598,880.32	
Public Health Service	312	\$0.00	
Health and Human Services	313	\$2,374,024.22	
National Aeronautics and Space Admin	314	\$1,262,392.15	
Tennessee Valley Authority	315	\$0.00	
Other Federal Funds (including 'pass-through')	318	\$2,285,373.46	
Total Other Federal Research Funds	332	\$52,938,353.33	
NON-FEDERAL RESEARCH FUNDS			
State Appropriations	220	\$66,695,113.21	
Field Stations	22F	\$1,409,153.04	
Self-Generated Funds	221	\$1,205,349.76	
Industry Grants and Agreements	222	\$30,019,453.31	
Other Non-Federal Funds	223	\$2,597,355.25	
Total Non-Federal Research Funds	233	\$101,926,424.57	
TOTAL ALL RESEARCH FUNDS	234	\$165,281,991.72	
NON-FEDERAL EMPLOYED STAFF SUPPORT			
Scientists	241	170.32	
Professional Support	242	983.45	
Technical Support	243	129.84	
Clerical, Labor and Other	244	350.63	
TOTAL SUPPORT YEARS	350	1634.24	

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Screenshot “B”

AD-419 Reporting Module - Mozilla Firefox

File Edit View History Bookmarks Tools Help

https://secure.caes.ucdavis.edu/AD419/reportingModule.aspx

Getting Started Latest Headlines

MyUCDavis AD-419 Reporting Module

AD-419 Home > Reporting Module

projects associations reports

Department: AANS (Animal Science)

Expense Record Grouping: Organization

Show: ☐ Associated ☒ Unassociated

#	Chart	OrgCode	OrgName	Spent (\$)	FTE	
114	3	AANS	ANIMAL SCIENCE	\$2,243,436.83	35.35	<input type="checkbox"/>
4	3	ASAC	ANIMAL SCIENCE LIVESTOCK MGT	\$16,642.66	0.00	<input type="checkbox"/>
18	3	ASED	ANIMAL SCIENCE ENDOWMENT	\$140,080.35	0.42	<input type="checkbox"/>
48	3	ASGI	ANIMAL SCIENCE GIFTS	\$240,798.11	1.60	<input type="checkbox"/>
227	3	ASGR	ANIMAL SCIENCE CONTRACTS AND GRANTS	\$2,179,697.96	27.19	<input type="checkbox"/>
37	3	ASIN	ANIMAL SCIENCE INACTIVE	\$215,583.38	2.69	<input type="checkbox"/>
1	3	ASIR	ANIMAL SCIENCE I&R	\$1,484.00	0.00	<input type="checkbox"/>
339	3	ASOR	ANIMAL SCIENCE OR	\$1,193,419.48	19.36	<input type="checkbox"/>

Unassociate Selected Record(s) Associate Selected Record(s)

0	0%	Project	Spent (\$)	FTE (#)
<input type="checkbox"/>		CA-D*-ASC-1703-H		
<input type="checkbox"/>		CA-D*-ASC-3896-H		
<input type="checkbox"/>		CA-D*-ASC-4114-H		
<input type="checkbox"/>		CA-D*-ASC-4531-H		
<input type="checkbox"/>		CA-D*-ASC-5256-AH		
<input type="checkbox"/>		CA-D*-ASC-5651-RR		
<input type="checkbox"/>		CA-D*-ASC-5929-RR		
<input type="checkbox"/>		CA-D*-ASC-6413-RR		
<input type="checkbox"/>		CA-D*-ASC-6414-RR		
<input type="checkbox"/>		CA-D*-ASC-6551-RR		
<input type="checkbox"/>		CA-D*-ASC-6553-RR		
<input type="checkbox"/>		CA-D*-ASC-6574-H		
<input type="checkbox"/>		CA-D*-ASC-6577-H		
<input type="checkbox"/>		CA-D*-ASC-6578-H		

	SPENT	FTE	RECS
Total	\$8,909,783.58	100.12	905
Associated	\$2,678,640.81	13.51	117
Unassociated	\$6,231,142.77	86.61	788

AD-419 Version: 2.12.14.7 | Questions or Comments?

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Screenshot “C”

