AD-419 Reporting for 2010

Overview

The AD-419 provides the United States Department of Agriculture, National Institute for Food and Agriculture (USDA-NIFA), with an extensive annual report detailing how federal formula funding assigned to Agricultural Experiment Station (AES) projects (i.e. Hatch, Hatch/Multistate, or Animal Health) – is leveraged with other campus research funding. To simplify the creation of this report, the College of Agricultural & Environmental Sciences (CA&ES) Dean's Office provides a web-based computer program to CA&ES and CBS departments. The essence of the program is to provide the mechanism and data necessary to link non-NIFA research-related expenses to the most appropriate AES project(s) within each department.   The program is capable of generating .pdf viewable and hard-copy reports at the conclusion of the departmental "expense-to-project" association process. In most cases departments are able to complete this report in less than three hours.

The online AD-419 program automates many of the processes that were formerly completed manually. Functions involving calculations or pro-rations in assigning expenses to multiple AES projects are completed by the AD-419 program. The online program allows **the user to focus on the task of associating research expenses within the department to the most appropriate AES formula project(s)**. During the process in which the user associates expenses to AES projects, the program generates the necessary calculations, pro-rations (including employee FTE), and other computations needed to produce the AD-419 "on the fly".   This means that the user can view and update the individual and department-wide AD-419 reports throughout the process that expense-to-project associations are made.

The expenditure data to be associated by each department to AES projects includes all 2009-10 fiscal year expenditures within chart "3" accounts that have an Annual Report Code (ARC) that reports to the AES function. In addition, certain Chart "L" expenditures are included in situations where a CE Specialist acts as PI on one or more AES projects.

The AD-419 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, it can be accessed by any authorized individual who has a connection to the internet. Those with access are limited to the department(s) with which they are affiliated. Departments have previously provided the CA&ES Dean's Office with the names of individuals who need authorization for the particular department(s). 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 Kerberos login id and passphrase. This login information is the same as needed to access the MyUCDavis web-page.

The AD-419 program home page includes an option to enter the "Reporting Module" or view "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", located at the bottom of this document. 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(s).

      In the upper left-hand quadrant of the screen is information pertaining to the total departmental research expenses and research-related FTE to be considered for association with one or more AES 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 already completed certain expense-to-project associations, including report lines 201, 202, 204, 205, and 22F. These prior associations include the salaries and FTE of PI's with one or more AES projects, as well as Field Station expenses. Remaining unassociated expense and FTE records appear as "Unassociated" – and need to be associated by the department user. Once the user begins the process of associating expenses to AES projects, the amounts in the "Unassociated" row will decrease while the amounts in the "Associated" row will increase. Ultimately, the goal is to associate all remaining (unassociated) expense records and FTE to the most appropriate AES project(s) – meaning that that "Unassociated" expenses should equal $0 when the department has completed all project-to-expense associations.

      In the lower left-hand quadrant of the *projects* screen is information specific to each departmental AES project that is subject to association with departmental research expenses / PI FTE. 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., PI, Project Title, type of project) for each of the AES 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", and "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-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", located at the bottom of this document. This screen is used to perform the actual expense/FTE record associations to AES projects within your department. There are three main sections within this screen. The left side of the screen contains a scrollable window that lists expense records that need to be considered for association with the appropriate AES project(s) 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.   <u>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".</u>   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 AES projects. One or more expense records can be checked in cases where multiple expense records are to be associated with the same AES project(s).

The AES 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(s) for the AES project(s) to be associated with the expense record(s). Once the user has indicated at least one expense record and one AES project using the check box(s), the user directs the program to make the association by depressing the "ASSOCIATE Selected Record(s)" button above the project listing. 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 as 50% for both projects; if three projects are selected, the split will be 33.33% 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 to AES 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 AES 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)" check box on the upper right side of screen. Once disassociated" the expense records will again 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 departmental AES projects, and
2. Department AD-419. This option provides the ability to view and/or print the departmental summary for all AES projects.

When the association process is completed – meaning that that "Unassociated" expenses equal $0, departments/units should generate two hard copies of the Project (individual) and Dept. (summary) AD-419 reports. After signing/dating the Dept. summary report (no need to sign each project page), forward one set to Alyssa Gartung at the CA&ES Dean's Office (150 Mrak Hall). The other copy should be retained for departmental/unit records.

Strategy for Expense-to-Project Associations within the "Associations" Screen

Prior to making expense-to-project associations, users need to have a handy reference that provides them the AES projects and related PIs that appear on this report. This information is available through the following website: http://cwf.uvm.edu/cris/.

- select the "Reporting Checklist" hot button on the lower left-side
- from the "Display the AD-421/419 Checklist" screen that appears, select the "CAL2" option from the drop-down box and click "Proceed."
- on the "Display the CAL2 Checklist" menu that appears:
  - o find the "Select the Type of Checklist:" heading at the top, and click the radio button for the "**AD-419 Checklist** (includes all projects active and recently terminated (during past 2 FYs) (**Non-formula grants are not included in the CRIS AD-419 checklist**) **NEW** " *This is the first year that non-formula grants (CG's, OG's and SG's) have not been included on the AD-419 Checklist.*
  - o beneath the "Select the content to be included" heading, click the radio button for "Projects for **one** department", then select your department from the drop down menu below.
  - o beneath the "Select the output style you prefer:" heading, click the radio button for "Full project identifying information"
  - o beneath the "Select the order you prefer" heading, click the radio button for "by Investigator".
- click the "Proceed" box; the screen return should include all departmental AES projects by PI which appear on this year's AD-419. This report can be printed for use when making the "expense-to-project" associations.
- Note: If your department administers any AES projects for PI's with split appointments between departments or with multiple PI's in different departments, you should run the Reporting Checklist for "Interdepartmental" (XXX) projects as well. To do this, repeat the steps above, selecting "Interdepartmental" from the department drop-down list.

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 a reasonable, good faith effort to associate expense records to the appropriate AES project(s).** The steps that can achieve this goal are the following, in sequential order:

1. Note that under the "Employee" view of the "Associations" tab, the CA&ES Dean's Office has previously associated the salary and FTE of PI's 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., PI view, Organization view, Employee View, etc.), associate the remaining expense records with the appropriate AES project(s). This will be demonstrated during a workshop on this program.
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 AES project(s). Departments/units that extensively use DaFIS "organizations" to identify faculty cost centers will want to select the *Organization* grouping. Departments/units that extensively use DaFIS "Principal Investigator" to identify faculty cost centers will want to select the *Principal Investigator* grouping, and so forth.
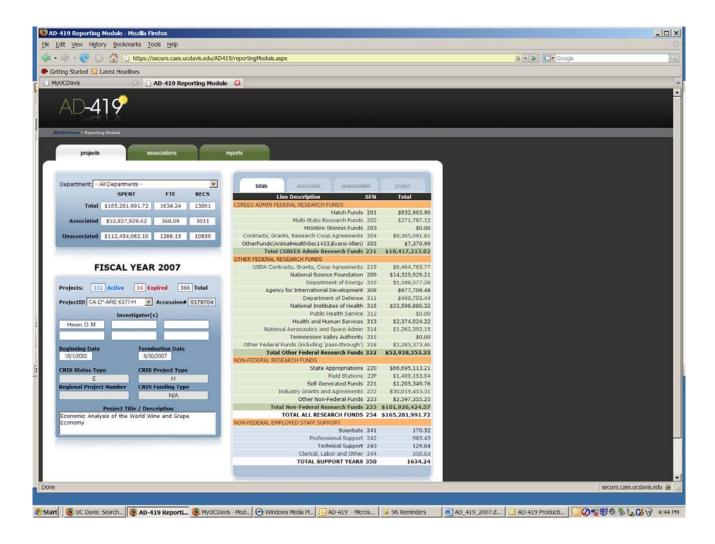
  Once an appropriate "grouping" selection has been made, the user should proceed to associate the remaining expense records to the specific AES project(s), to the extent reasonable. It is reasonable to assume that users will want to use several different "grouping" options to identify the proper "expense-to-project" associations. The user can also use the *Employee* grouping to help identify remaining personnel expenses with AES 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 AES projects to which (s)he wish to pro-rate the selected expenses. To easily select ALL of the AES 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 AES projects.
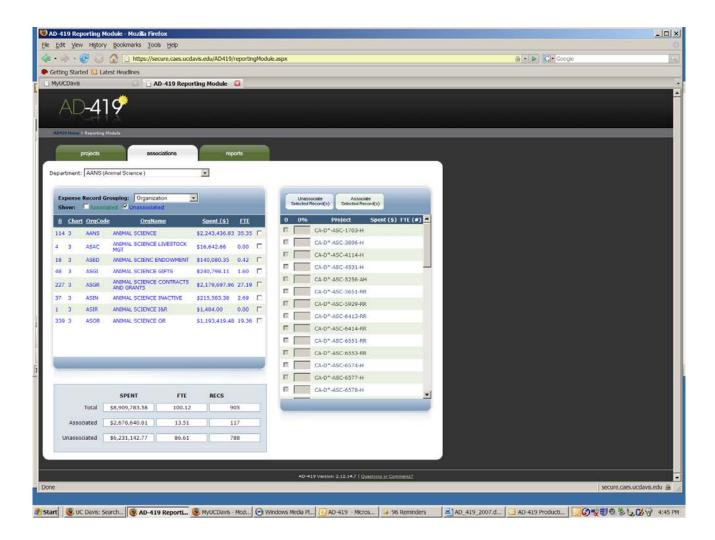
Summary
-   The AD-419 report is **not** used in any way to generate the amount of departmental funding via the RAC formula process
-   Once expense-to-project associations have been made, the database automatically retains those associations unless they are disassociated. Users do no need to separately "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, email Alyssa Gartung (2-1610 or gartung@caes.ucdavis.edu), and forward the hard-copies of the Project Reports and Dept. Summary report to her. Again, only the Dept. Summary Report needs to be signed.

Screenshot "A"

Screenshot "B"

Screenshot "C"