

AD-419 Reporting for 2012-2013

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 funds 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 departments within the CA&ES and College of Biological Sciences (CBS). 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 two-to-three hours or less.

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 2012-13 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 faculty member with a CE Specialist appointment 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 with an internet connection. 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 previously completed certain expense-to-project associations, including report lines 201, 202, 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 will 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. 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 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 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. Note that the projects are grouped in alphabetical order by the principal PI’s last name and first initial, which are identified adjacent to each project. The projects will be available for associating 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. The expense records will then appear again 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 your association process is completed – meaning that that “Unassociated” expenses equal \$0 for your department, you need to e-mail Shannon Tanguay

(satanguay@ucdavis.edu) and cc: your Department Chair indicating which department(s) are complete. Once we in the Dean's Office have completed our final associations, we will generate PDFs of both the Project (individual) and Dept. (summary) AD-419 reports to retain in our office. We will also send each department PDFs of their final reports. *We are no longer requiring that departments print out and sign hard copies.*

Strategy for Expense-to-Project Associations within the “Associations” Screen

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).** To achieve this goal, please follow these steps:

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 with their research project(s). **PLEASE DO NOT unassociate these expenses without first contacting the Dean's Office.**
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 identified to a 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 Kuali “Organizations” to identify faculty cost centers should first make expense-to-project associations using the *Organization* grouping. Departments/units that extensively use the Kuali “Principal Investigator” identifier should associate 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, it is time to do the “universal” pro-ration. The user selects all of the remaining expense records, then selects 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 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, e-mail Shannon Tanguay (satanguay@ucdavis.edu) and cc: your Department Chair indicating which department(s) are complete. Once we in the Dean’s Office have completed our final associations, we will generate PDFs of both the Project (individual) and Dept. (summary) AD-419 reports to retain in our office. We will also send each department PDFs of their finalized reports. *We are no longer requiring that departments print out and sign hard copies.*

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

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

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	\$6,464,763.77
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	\$23,598,680.32
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

Done secure.caes.ucdavis.edu

Start UC Davis: Search... AD-419 Report... MyUCDavis - Moz... Windows Media PL... AD-419 - Micros... 96 Reminders AD_419_2007.d... AD-419 Product... 4:44 PM

Screenshot “B”

The screenshot displays the AD-419 Reporting Module interface in a Mozilla Firefox browser. The page title is "AD-419 Reporting Module - Mozilla Firefox". The browser's address bar shows the URL: <https://test.caes.ucdavis.edu/ad419/reportingModule.aspx>. The page features a navigation bar with tabs for "projects", "associations", and "imports". The "associations" tab is currently selected.

The main content area is divided into two panels. The left panel, titled "Expense Record Groupings", shows a table of expense records grouped by organization. The table has columns for "Chart", "OrgCode", "OrgName", "Spent (\$)", and "FTE". The right panel, titled "Unassociate Selected Record(s)" and "Associate Selected Record(s)", shows a list of projects with columns for "0%", "Project", "PI", "Spent (\$)", and "FTE".

Expense Record Groupings Table:

Chart	OrgCode	OrgName	Spent (\$)	FTE
6	3	AAK ANNE KING FUNDS	\$45,737.86	0.97
13	3	AALV ALISON VAN EENENNAAM FUNDS	\$310,387.56	1.65
11	3	AAMQ ANITA OBERBAUER FUNDS	\$181,996.30	1.76
3	3	AANS ANIMAL SCIENCE	\$10,331.61	0.00
81	3	ABPM BERNIE MAY FUNDS	\$1,319,791.40	10.37
11	3	ABWV BARRY WILSON FUNDS	\$82,585.27	1.02
32	3	ACBT CASSANDRA TUCKER FUNDS	\$116,270.88	1.83
7	3	ADMH DEANNE MEYER FUNDS	\$105,245.88	0.84
19	3	ADZK DIETMAR KULTZ FUNDS	\$452,770.26	2.74
9	3	AEAM ELIZABETH MAGA FUNDS	\$162,413.56	1.04

Summary Table:

	SPENT	FTE	RECS
Total	\$12,383,447.83	91.46	744
Associated	\$1,012,559.96	0.20	60
Unassociated	\$11,370,887.87	91.26	684

Project List Table:

0%	Project	PI	Spent (\$)	FTE
<input type="checkbox"/>	CA-D-ASC-7655-RR	Adams, T. E.		
<input type="checkbox"/>	CA-D-ASC-7365-RR	Berger, T. J.		
<input type="checkbox"/>	CA-D-ASC-7764-H	Berger, T. J.		
<input type="checkbox"/>	CA-D-ASC-6593-RR	Berry, S. L.		
<input type="checkbox"/>	CA-D-ASC-1703-H	Calvert, C. C.		
<input type="checkbox"/>	CA-D-ASC-3096-H	Chang, E. S.		
<input type="checkbox"/>	CA-D-ASC-6414-RR	Delany, M. E.		
<input type="checkbox"/>	CA-D-ASC-7233-RR	Delany, M. E.		
<input type="checkbox"/>	CA-D-ASC-7381-RR	Delany, M. E.		
<input type="checkbox"/>	CA-D-ASC-2024-RR	DePeters, E. J.		
<input type="checkbox"/>	CA-D-ASC-	Doroshov,		

The bottom of the page shows the browser's status bar with the text "AD-419 Version: 6.6.0.1" and the system clock showing "3:59 PM 11/30/2012".

Screenshot “C”

