

## **College of Agricultural & Environmental Sciences** **AD-419 Reporting for 2014-2015 Financial Activity**

### **Overview**

The AD-419 process 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 – (Hatch, Multistate and Animal Health) – are leveraged with other campus research funding. To create the 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). Through the program, users link non-NIFA research-related expenses to the most appropriate AES project(s). At the conclusion of the departmental "expense-to-project" association process, the program is used to generate reports as PDFs.

*In most cases departments are able to complete their associations in two-to-three hours or less.*

During the process in which users associate expenses to AES projects, the program generates the necessary calculations, pro-rations (including employee FTE), and other computations needed to produce the AD-419 reports. Users can see how the associations they make affect the calculations in real-time. The program rounds expenses to whole dollars, FTE to tenths and negative amounts to zero once the final project report is created.

The expenditures being associated are from the 2014-15 fiscal year 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.

### **Basics of Program**

This web-based program can be accessed by any authorized individual with an internet connection. Users are only able to see and act on department(s) with which they are affiliated. Departments provide the Dean's Office with a list of authorized individuals each year.

Users complete the following steps to access the program:

1. Enter the URL, <https://secure.caes.ucdavis.edu/AD419/>, after which a screen should appear which prompts users to:
2. Enter their campus Kerberos login id and passphrase. This login information is the same as needed to access the MyUCDavis web-page.

Once users have launched the program they will see the AD-419 program home page that includes an option to enter the [Reporting Module](#) or view the [Instructions](#).

*Users are strongly encouraged to review the instructions prior to using the program.*

To begin, click on the [Reporting Module](#) link. Within the [Reporting Module](#) users can navigate between three screens using the [projects](#), [associations](#), and [reports](#) tabs at the upper left-hand corner of each screen. Each of the three screens is explained below:

## The *projects* Screen

**#1**

Department: -- All Departments --

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

**#2 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

**#3**

Line Description	SFN	Total
<b>CSREES ADMIN FEDERAL RESEARCH FUNDS</b>		
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
<b>Total CSREES Admin Research Funds</b>	<b>231</b>	<b>\$10,417,213.82</b>
<b>OTHER FEDERAL RESEARCH FUNDS</b>		
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	\$23,598,880.32
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
<b>Total Other Federal Research Funds</b>	<b>332</b>	<b>\$52,938,353.33</b>
<b>NON-FEDERAL RESEARCH FUNDS</b>		
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
<b>Total Non-Federal Research Funds</b>	<b>233</b>	<b>\$101,926,424.57</b>
<b>TOTAL ALL RESEARCH FUNDS</b>	<b>234</b>	<b>\$165,281,991.72</b>
<b>NON-FEDERAL EMPLOYED STAFF SUPPORT</b>		
Scientists	241	170.32
Professional Support	242	983.45
Technical Support	243	129.84
Clerical, Labor and Other	244	350.63
<b>TOTAL SUPPORT YEARS</b>	<b>350</b>	<b>1634.24</b>

The [projects](#) screen has three sections:

1. In the top left is a drop-down menu showing the name(s) of your department(s), along with the total departmental research expenses and research-related FTE to be associated with one or more AES projects. Note the row labels of [Total](#), [Associated](#), and [Unassociated](#).
  - a. 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.
  - b. Users associate the remaining (unassociated) expense and FTE records. 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.
  - c. The goal is to associate all remaining (unassociated) expense records and FTE to the most appropriate AES project(s) – meaning that the [Unassociated](#) expenses row will equal \$0 when the department has completed all project-to-expense associations.



[AD419 Home](#) > Reporting Module

projects
associations
reports

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### #3

totals
associated
unassociated
project

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- In the lower left is information specific to each AES project that is subject to association with departmental research expenses and PI FTE. There is a drop-down list adjacent to the [Project ID](#) label. Using the 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.
- On the right is a layout of an AD-419 report. There are four tabs at the top of this layout. The first three tabs, labeled [totals](#), [associated](#), and [unassociated](#), provide expense/FTE information for the department as a whole. The fourth tab, [project](#), provides a view of the expenses/FTE associated with the selected research project.

Note that the [projects](#) screen is informational and is not the screen through which the expense-to-project associations occur. That process occurs in the [associations](#) screen.

## The *associations* Screen

The screenshot shows the AD419 Reporting Module interface. At the top, there are tabs for 'projects', 'associations' (selected), and 'reports'. Below the tabs, a dropdown menu shows 'Department: AANS (Animal Science)'. The main content area is divided into three sections:

- #1 Expense Record Grouping:** A section with a dropdown menu set to 'Organization' and a 'Show:' filter with 'Associated' unchecked and 'Unassociated' checked. Below this is a table of expense records.
- #2 Association List:** A section with buttons for 'Unassociate Selected Record(s)' and 'Associate Selected Record(s)'. It contains a table listing records with checkboxes for association.
- #3 Summary Table:** A table summarizing the total, associated, and unassociated records.

50	Chart	OrgCode	OrgName	Spent (\$)	FTE
6	3	AAJK	ANNIE KING FUNDS	\$45,737.86	0.97
13	3	AALV	ALISON VAN EENENNAAM FUNDS	\$310,387.56	1.65
11	3	AAMO	ANITA OBERBAUER FUNDS	\$181,996.38	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	ABWW	BARRY WILSON FUNDS	\$82,585.27	1.02
32	3	ACBT	CASSANDRA TUCKER FUNDS	\$118,270.88	1.83
7	3	ADMM	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

	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

The [associations](#) screen is used to perform the actual expense/FTE record associations to AES projects within each department. There are three sections within this screen.

1. In the top left is 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 group expenses in six different ways, including:

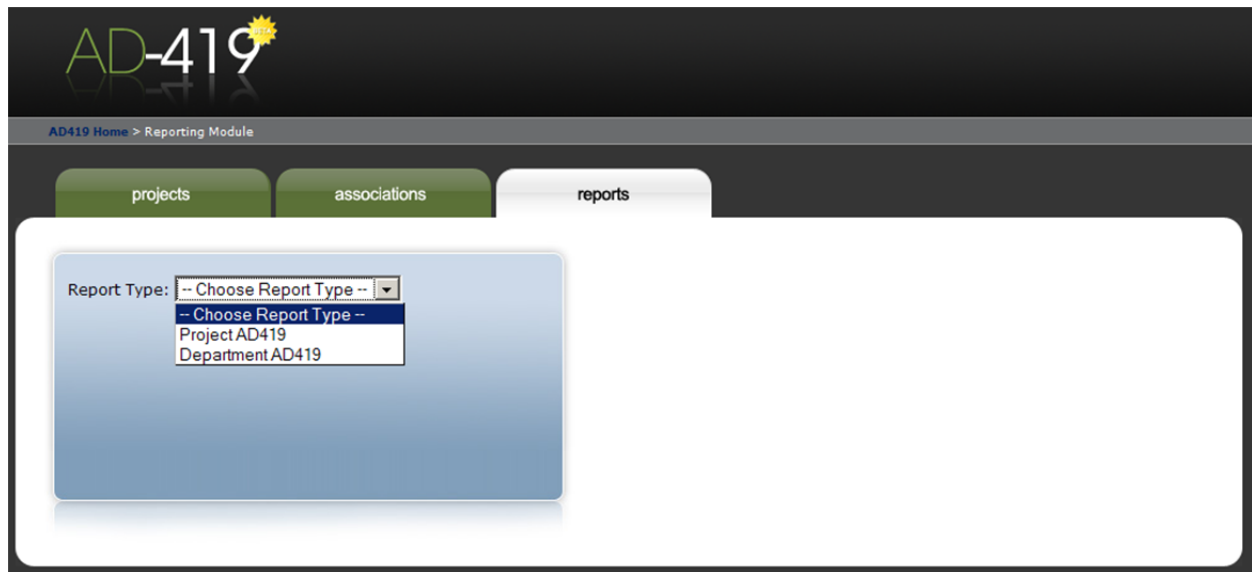
- i. **Organization**
- ii. **Sub-account**
- iii. **Principle Investigator**
- iv. **Account**
- v. **Employee, and**
- vi. **No grouping**

Which grouping is best to use and in what order are discussed later under “strategy”.



- b. Directly below the [\*Expense Record Grouping\*](#) label are two check boxes, [\*Associated\*](#) and [\*Unassociated\*](#). Checking (☐) these boxes gives users the ability to view only expenses that are already associated, only expenses that are unassociated, or both associated and unassociated expenses. *Since users normally want to know which expense records still need to be associated, it is recommended to only check the [\*Unassociated\*](#) box.*
    - c. Note the check box directly to the right of each expense record. Check the box(es) next to the expense record(s) that you want to associate with one or more AES projects. More than one expense record can be checked in cases where multiple expense records are to be associated with the same AES project(s).
  2. On the right is a list of AES projects that can be associated with selected expense records. Projects are displayed in alphabetical order by the principal PI's last name and first initial.
    - a. Once one or more expense records are selected on the left-hand side of the screen, the projects on the right side will become available for associating.
    - b. Check the box(es) for the AES project(s) you want to associate with the expense(s).
    - c. Once you've indicated at least one expense record and one AES project using the check box(es), you can direct the program to make the association by clicking the [\*Associate Selected Record\(s\)\*](#) button above the project listing.
    - d. 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 you select 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.
    - e. Alternatively, you have the option to use the % indicator box to enter specific percent amounts for each project. In such cases, the system will notify you if the total percentage does not add to 100%. Once an expense-to-project association is made and you've clicked the [\*Associate Selected Record\(s\)\*](#) button, the system automatically saves that association and moves the expense record from the [\*Unassociated\*](#) to the [\*Associated\*](#) view.
    - f. If needed, the program allows users to unassociate expenses already made to AES projects. To do so, check the [\*Associated\*](#) box and uncheck the [\*Unassociated\*](#) box. Then select the expenses that need to be undone. After verifying that the existing "expense-to-project" associations should be unassociated, click the [\*Unassociate Selected Record\(s\)\*](#) button. The expense records will then appear again in the [\*Unassociated\*](#) totals.
3. On the bottom left, are totals for Associated, Unassociated and a grand Total for the selected department. As expenses are associated, users will see a decrease in the total [\*Unassociated\*](#) expenses, and an increase in the total [\*Associated\*](#) expenses.

## The *reports* Screen



The [reports](#) screen is used to generate PDFs of the AD-419. There are two report options within the drop-down menu:

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.

Once your association process is complete – meaning that the [Unassociated](#) expenses equal \$0 for your department(s) – e-mail Shannon Tanguay ([satanguay@ucdavis.edu](mailto:satanguay@ucdavis.edu)) and cc: your Department Chair indicating the department associations 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 in January. *We no longer require departments to print out and sign hard copies.*

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

*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 grouping, Organization grouping, Employee grouping, 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” proration option, when the remaining expense records cannot be reasonably identified to a specific project or projects.

## Implementation of Strategy

In creating your associations, consider which of the expense record grouping(s) will be the **most efficient** in assigning the remaining expense records to specific AES project(s). Departments that extensively use “Organization Codes” within Kuali to identify faculty cost centers should first make expense-to-project associations using the [Organization](#) grouping. Departments that extensively use the Kuali “Principal Investigator” identifier should first associate using the [Principal Investigator](#) grouping, and so forth.

Once you select an [Expense Record Grouping](#), use this grouping to associate expense records to specific AES project(s). Then switch to another [Expense Record Grouping](#) to view the rest of the unassociated expenses in a different way. You may need to use several different “grouping” options to identify the proper “expense-to-project” associations. You 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.

1. Select all of the remaining expense records by checking the boxes to the right of each record.
2. Then select all of the AES projects to which you wish to pro-rate the selected expenses. To easily select ALL of the AES projects click on the [0](#) column header for project records. If this operation is done correctly, all of the project records will be selected.
3. Then click 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 used for reporting purposes only. It 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 unassociated. 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](mailto: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 e-mail each department their reports. *We are no longer requiring that departments print out and sign hard copies.*