College of Agricultural & Environmental Sciences (CA&ES)
AD-419 Reporting for Agricultural Experiment Station Financial Activity

Overview

The AD-419 Federal Financial Reporting process provides the United States Department of Agriculture, National Institute for Food and Agriculture (USDA-NIFA) with an annual report detailing how federal formula funds assigned to Agricultural Experiment Station (AES) projects – (Hatch, Multistate and Animal Health) – were leveraged with other campus research funding.

Departments in CA&ES and the College of Biological Sciences (CBS) use a web-based program to link research-related expenses to the most appropriate AES project(s).

At the conclusion of the departmental "expense-to-project" association process, the web-based program is used to generate a spreadsheet that is submitted to Agriculture & Natural Resources, who in turn submits the information to USDA-NIFA.

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

While expense associations are being made, the program generates the necessary calculations, pro-rations (including employee FTE) and other computations, and users can see how their associations affect the calculations in real-time.

Since this is a mandatory federal report, it is critical that we associate expenses with the most appropriate project(s).

Basics of Program

This web-based program allows authorized users to see and act on department(s) with which they are affiliated. Departments provide a list of users each year who complete the following steps to access the program:

Enter the URL, https://ad419-next.caes.ucdavis.edu/, after which a screen should appear which prompts users to enter their campus Kerberos login id and passphrase.

Once users have launched the program they will see the AD-419 program home page that includes options to make associations, see summary information and view these ***Instructions***.

Users are expected to review the instructions prior to using the program.

AD419

The *Associations* Screen - where departments do all their work

AD419
Fiscal Year 20xx

Department

| BNPB (Neurobiology, Physiology & Behavior) **#1** | ⌄ |

| Organization | ⌄ | ☐ Associated ☑ Unassociated |

| Search... |

#2 | Search... | **Assign**   **Unassign** |

Num	Chart	Code	Description	Spent	FTE	
10	3	ANPB	AES NEUROBIOLOGY, PHYSIOLOGY, & BEHAVI	$356,214.80	1.6320	☐
1	3	BN00	NPB CLOSED ACCOUNTS	($1,730.16)	0.0000	☐
1	3	NPAI	ORG FOR ANDY ISHIDA	$541.92	0.0000	☐
10	3	NPCF	NEW ORG CHUCK FULLER	$245,175.05	1.9553	☐
4	3	NPDF	NEW ORG FOR DAVE FURLOW	$52,995.58	0.5220	☐
12	3	NPEC	ORG FOR EARL CARSTENS	$349,365.03	1.5763	☐
1	3	NPRC	ORG for Rebecca Calisi	$597.75	0.0000	☐
1	3	NPSC	ORG for Stacey Combes	$119.08	0.0000	☐
1	3	NPTH	ORG FOR THOMAS COOMS-HAHN	($1.32)	0.0000	☐

	0.00 %	Project	PI
☐		CA-D-NPB-2417-H	Carstens, E
☐		CA-D-NPB-2484-H	Coombs-Hahn, T
☐		CA-D-NPB-2531-H	Furlow, J
☐		CA-D-NPB-3509-H	Nevitt, G

Department Totals **#3**

	SPENT	FTE	RECS
Total	$1,025,197.54	5.7453	43
Associated	$21,919.81	0.0597	2
Unassociated	$1,003,277.73	5.6856	41

The *Associations* screen is used to associate expenses and FTE record to AES projects within each department. There are *three* sections within this screen.

#1   In the top left is a drop down menu for the department(s) to which a user was granted access. Users select the department for which they want to associate expenses. If users only have access to a single department, only one option will appear.

Department

| AENM (Entomology & Nematology) | ⌄ |

Next, users select from the drop-down box of expense record groupings.

| Principal Investigator | ⌄ |

This feature gives the flexibility to view expenses in six different ways:
    i.   **Organization**
    ii. **Principal Investigator**
    iii. **Account**
    iv. **Employee**
    v.   **Sub-account**
    vi. **No grouping**

Each expense record grouping displays the same data, but through a different lens. Which grouping is best to use and in what order are discussed later under "strategy".

To the right of the expense record groupings 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.

☐ Associated ☑ Unassociated

The *Search* field is a new feature that allows users to more easily find specific rows of data.

For example, while using the Principal Investigator lens, users can either scroll down to Dr. Rosenheim's rows or begin typing "rosen" and the data will be filtered to the two relevant rows.

Principal Investigator	☐ Associated ☑ Unassociated

rosen|

Num	Chart	Description	Spent	FTE	
9	3	ROSENHEIM, JAY A	$163,611.07	1.7212	☐
2	L	ROSENHEIM, JAY A	$17,569.82	0.0740	☐

Note there is a check box directly to the right of each expense record. Users check the box(es) next to the record(s) that they want to associate with one or more AES projects.

Description	Spent	FTE	
ROSENHEIM, JAY A	$163,611.07	1.7212	☑
ROSENHEIM, JAY A	$17,569.82	0.0740	☐

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 of the screen is a list of AES projects that can be associated with selected expense records. Projects are displayed in alphabetical order by the Principal Investigator's last name and first initial.

Search...		Assign	Unassign
☐ 0.00 %	**Project**	**PI**	
☐	CA-D-ENM-2477-H	Attardo, Geoffrey	
☐	CA-D-ENM-2532-H	Bond, Jason	
☐	CA-D-ENM-2478-H	Carey, J	
☐	CA-D-ENM-2150-H	Chiu, Joanna	

Users can either scroll down the list or use the search box to find the appropriate projects.

karban		Assign	Unassign
☐ 0.00 %	**Project**	**PI**	
☐	CA-D-ENM-2353-RR	Karban, R	
☐	CA-D-ENM-4278-H	Karban, R	
☐	CA-D-ENM-7314-RR	Karban, R	

a. Users check the box(es) for the AES project(s) they want to associate with the expense(s).

b. Once users have checked at least one expense record on the left side of the screen and one AES project on the right side of the screen, they can associate the expense(s) by clicking the *Assign* button above the project list.

c. When a row is selected, that row will move to the top of the list and will remain there so other rows can be selected, until the row is assigned or the row is deselected.

d. When 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, when users select two projects, the selected expense record(s) will be distributed as 50% for both projects; when three projects are selected, the split will be 33.33% for each project, etc.

☐ 100.00 %		**Project**	**PI**
☑	50.00	CA-D-ENM-5234-H	Kimsey, L
☑	50.00	CA-D-ENM-6772-H	Kimsey, L

e. Users can edit the % and enter specific amounts for each project. In such cases, the system will not allow users to assign the expenses until the total adds to 100%.

	%	Project	PI
☐	76.67 %	Project	PI
☑	10.00	CA-D-ENM-2353-RR	Karban, R
☑	33.33	CA-D-ENM-4278-H	Karban, R
☑	33.33	CA-D-ENM-7314-RR	Karban, R

f. After all the desired rows are selected, users click the *Assign* button.

g. Once the *Assign* button is clicked, the system automatically saves that association and moves the expense record(s) from the *Unassociated* to the *Associated* view.

h. If needed (though not recommended), users can unassociate expenses. To do so, users check the *Associated* box and uncheck the *Unassociated* box.

☑ Associated ☐ Unassociated

Then users select the expenses on the left side of the screen that need to be unassociated. After verifying that the existing "expense-to-project" associations should be unassociated, click the *Unassign* button. The expense records will then appear again in the *Unassociated* view.

i. Note that under the *Employee* view of the expense record grouping tab, the CA&ES Dean's Office has previously associated the AES salary and FTE of PI's with their research project(s). **PLEASE DO NOT unassociate these expenses without first contacting the Dean's Office.**

#3 On the bottom left of the screen are totals for Associated, Unassociated and a grand Total for the selected department. As expenses are associated, users will see the *Unassociated* total decrease, and the *Associated* total will increase.

Department Totals

	SPENT	FTE	RECS
Total	$13,453,447.75	76.3090	919
Associated	$13,453,447.75	76.3090	919
Unassociated	$0.00	0.0000	0

Once the association process is complete – meaning that the *Unassociated* expenses equal $0.00 for a user's department(s) – users will e-mail Shannon Tanguay (satanguay@ucdavis.edu) and cc: the Department Chair and CAO indicating the department's associations are complete.

Strategy for Expense-to-Project Associations

In order to meet the intent of the USDA in preparing this report, users must make a reasonable, good faith effort to associate expense records to the appropriate AES project(s). To achieve this goal, users follow these steps:

1. Where there is a reasonable basis for doing so (e.g., Principal Investigator grouping, Organization grouping, Employee grouping, etc.), associate the expense records with one or more appropriate AES project(s).

2. When a PI has more than one project, consider if the expenses should be split evenly between the projects, or if an adjustment needs to be made to the default split. This will be based on the user's knowledge of the expenses being associated.

☑	25.00	CA-D-ETX-2421-CG		☑	50.00	CA-D-ETX-2421-CG
☑	75.00	CA-D-ETX-2512-CG	instead of	☑	50.00	CA-D-ETX-2512-CG

3. For PIs with expenses but no AES project, consider if their research program closely aligns with the work of one or more PIs that have AES projects. If so, the expenses can be associated with those specific projects.

Making Expense-to-Project Associations

In starting to create associations, users must consider which of the expense record grouping(s) will be the **most accurate lens** to use first.

a. For departments that extensively use "Organization Codes" within Kuali to identify faculty cost centers, users may first want make expense-to-project associations using the ***Organization*** grouping.

b. For departments that extensively use the Kuali "Principal Investigator" identifier, users may first want to use the ***Principal Investigator*** grouping, and so forth.

Please note: when using the "Principal Investigator" identifier, consider if the department chair or graduate group chair is assigned as PI for department/graduate group accounts. It would be inappropriate to assign all of these expenses to only that department chair or graduate group chair since the expenses aren't related directly to that person's specific research project(s). More likely, these expenses should be prorated across all projects in that department.

Once users select an expense record grouping, they will use this grouping to associate expenses to specific AES project(s). Then users will switch to a different expense record grouping to view the rest of the unassociated expenses through this new lens.

Users should review all expense record groups to identify the proper expense-to-project associations.

Universal Pro-Ration

Once users have associated all expenses that can be reasonably assigned to specific projects, users will spread any remaining expense records among all the projects, using the "universal" pro-ration feature.

1. On the left side of the screen, users will select the remaining expense record(s) by checking the box(es) adjacent to each record.

3	ABARE10	BAE:HAROLD & HELEN SMITH ENDOWMENT	$392.63	0.0000	☑
3	ABARF01	BAE: SURPLUS PROPERTY	$847.00	0.0000	☑
3	ABARF02	BAE: UNIV PATENT INCOME	$8,511.80	0.0000	☑

2. Then users will select <u>all</u> AES projects by clicking on the *0.00%* column header above the projects list.

☐ 0.00 %	Project
☐		CA-D-ENM-2477·
☐		CA-D-ENM-2524

3. If this operation is done correctly, all of the project records will be selected and a prorated % will be assigned based on the number of projects.

☑ 100.00 %	Project	PI
☑ 4.55	CA-D-BAE-2277-RR	Bornhorst, Gail
☑ 4.55	CA-D-BAE-2501-CG	Bornhorst, Gail
☑ 4.55	CA-D-BAE-2580-CG	Bornhorst, Gail

4. Then users will click the *Assign* button to pro-rate the remaining expenses among all the AES projects.

5. To ensure all expenses have been associated, check the Department Totals box in the lower left corner. The *Unassociated* total should = $0.00

Department Totals

	SPENT	FTE	RECS
Total	$19,667,708.75	108.8858	1057
Associated	$19,667,708.75	108.8858	1057
Unassociated	$0.00	0.0000	0

6. Upon completion of the association process, users will e-mail Shannon Tanguay (satanguay@ucdavis.edu) and copy the Department Chair and CAO indicating the department's expense-to-project associations are complete.

AD419

The *Summary* Screen – for reference only

AD419
Fiscal Year 20xx

Department			
-- All Departments --			
	SPENT	FTE	RECS
Total	$207,923,506.48	1,271.1076	13107
Associated	$180,632,936.43	1,109.3442	11677
Unassociated	$27,290,570.05	161.7634	1430

2019 Projects
Select A Project

Funding information for – **All Departments** –

Line Description	SFN	Total
CSREES ADMIN FEDERAL RESEARCH FUNDS		
Hatch Funds	201	$1,795,608.18
Multi-State Research Funds	202	$913,180.95
McIntire-Stennis Funds	203	$0.00
Contracts, Grants, Research Coop Agreements	204	$19,059,379.05
OtherFunds(AnimalHealthSec1433,Evans-Allen)	205	$5,623.01
Total CSREES Admin Research Funds	231	$21,773,791.19
OTHER FEDERAL RESEARCH FUNDS		
USDA Contracts, Grants, Coop Agreements	219	$16,574,686.03
National Science Foundation	209	$9,934,479.70

The *Summary* screen has three sections:

1. In the top left is a drop-down menu showing the department(s) to which a user has access, along with the totals for Associated, Unassociated and a grand Total for the selected department. This is the same information as can be seen on the associations screen. As expenses are associated, users will see the *Unassociated* total decrease, and the *Associated* total will increase.

Department			
AARE (Agricultural & Resource Economics)			
	SPENT	FTE	RECS
Total	$9,549,645.36	40.1346	424
Associated	$9,549,645.36	40.1346	424
Unassociated	$0.00	0.0000	0

2. In the lower left is a project search with information specific to each AES project.

> **2019 Projects**
>
> CA-D-ANS-2299-CG
>
> **PI:** Hovey, Russell
>
> **Begin:** Fri Jan 01 2016
>
> **End:** Thu Dec 31 2020
>
> **Project title:** Increased pork production efficiency through enhanced lactation

3. On the right are the department's totals broken down by categories reported to USDA-NIFA.

Funding information for AARE (Agricultural & Resource Economics)

Line Description	SFN	Total
CSREES ADMIN FEDERAL RESEARCH FUNDS		
Hatch Funds	201	$104,361.72
Multi-State Research Funds	202	$47,466.97
McIntire-Stennis Funds	203	$0.00
Contracts, Grants, Research Coop Agreements	204	$512,445.33
OtherFunds(AnimalHealthSec1433,Evans-Allen)	205	$0.00
Total CSREES Admin Research Funds	231	$664,274.02
OTHER FEDERAL RESEARCH FUNDS		
USDA Contracts, Grants, Coop Agreements	219	$550,811.14
National Science Foundation	209	$0.00
Department of Energy	310	$0.00
Agency for International Development	308	$3,257,557.66
Department of Defense	311	$0.00
National Institutes of Health	316	$0.00
Public Health Service	312	$0.00
Health and Human Services	313	$0.00
National Aeronautics and Space Admin	314	$0.00
Tenneessee Valley Authority	315	$0.00
Other Federal Funds (including 'pass-through')	318	$0.00
Total Other Federal Research Funds	332	$3,808,368.80
NON-FEDERAL RESEARCH FUNDS		
State Appropriations	220	$3,118,930.09
Field Stations	22F	$0.00
Self-Generated Funds	221	$57,820.31
Industry Grants and Agreements	222	$1,181,087.58
Other Non-Federal Funds	223	$719,164.56
Total Non-Federal Research Funds	233	$5,077,002.54
TOTAL ALL RESEARCH FUNDS	234	$9,549,645.36
NON-FEDERAL EMPLOYED STAFF SUPPORT		
Scientists	241	12.54
Professional Support	242	20.49
Technical Support	243	0.00
Clerical, Labor and Other	244	7.10
TOTAL SUPPORT YEARS	350	40.13