

Reporting Requirements/Timing

**A Presentation for the New
Directors Workshop
Coeur d'Alene, Idaho**

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by

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AREERA of 1998

- The Agricultural Research, Extension, and Education Reform Act of 1998 (AREERA) amended the Hatch Act of 1887, the Smith-Lever Act of 1914, and sections 1444 and 1445 of the National Agricultural Research, Extension, and Teaching Policy Act of 1979 (NARETPA).

Overview of requirements and other effects of the AREERA as it affects the SAES:

- USDA-approved five-year Plans of Work
- Cooperative research employing multidisciplinary approaches with another SAES, ARS or a college or university, to solve problems that concern more than one State.

Overview of requirements and other effects of the AREERA as it affects the SAES:

- Identified the Multistate Research Fund (MRF) (previously Regional Research Fund)
- Integrated research and extension activities

Overview of requirements and other effects of the AREERA as it affects the SAES:

- All Hatch formula-funded research must undergo scientific peer review
- Requires all Hatch formula-funds to be matched (including multistate research funds)

ROLES AND RESPONSIBILITIES

The Secretary of Agriculture is responsible for administration of the Multistate Research program. This responsibility is delegated to CSREES.

ROLES AND RESPONSIBILITIES

- **CSREES ---**
 - Promulgates rules and regulations for carrying out the program
 - Responsible for providing leadership for the program at the national level

ROLES AND RESPONSIBILITIES

- **CSREES ---**
 - Provides administrative oversight and authorization for the individual and collective, federally supported activities of the SAES
 - Approves allocation of multistate research funds based on recommendations of the regional associations

ROLES AND RESPONSIBILITIES

- **SAES Directors** are responsible for the Multistate Research program in their respective states and
 - Determine the most effective use of federal and non-federal funds in support of Multistate Research.
 - Are responsible for peer reviews of all proposed projects. [Peer review of MRF projects is delegated to the regional associations of SAES directors.]

ROLES AND RESPONSIBILITIES

- **SAES Directors --**
 - Authorize their Station's representatives to Multistate Research activities.
 - Determine the human resources to be committed to MRF projects and other Multistate Research activities.
 - Document participation in, and contributions to, multistate research projects.

ROLES AND RESPONSIBILITIES

- **Regional SAES Directors' Associations --**
 - Obtain (either directly or indirectly) information from stakeholder listening activities.
 - Establish the region's research priorities.
 - Manage their region's research portfolio.

ROLES AND RESPONSIBILITIES

- **Regional SAES Directors' Associations --**
 - Facilitate the development of research efforts that utilize the resources of individual and collective SAES toward regional and national goals
 - Identify appropriate outcomes that highlight research accomplishments

ROLES AND RESPONSIBILITIES

- **Regional SAES Directors' Associations --**
 - Establish partnerships with appropriate entities.
 - Assure through peer reviews, the quality of the science conducted, and the relevance of Multistate Research activities to stakeholder needs.
 - Delegate responsibilities to administrative advisors who ensure the efficient and effective conduct of Multistate Research and other regional activities.

ROLES AND RESPONSIBILITIES

- **Administrative Advisors (AA)** are appointed for each MRF project, coordinating committee, information exchange group, and advisory committee. The AA:
 - Facilitates communication.
 - Arranges for peer reviews of proposals..
 - Assures the quality of the governance of activities.
 - Authorizes annual and other meetings.
 - Fulfills the reporting requirements of activities.
 - Facilitates the conduct of an activity's business.

ROLES AND RESPONSIBILITIES

- **Representative From CSREES -**
 - A national program leader (NPL) is assigned by the Administrator of CSREES as the Agency's representative to each MRF project, coordinating committee, or other activity for involvement beginning with the earliest stages of organization. The nature and extent of involvement by CSREES representatives greatly facilitates the process for the development of, review and approval of projects, accomplishment of project objectives and other activities that insure the overall success of the project.

Representatives from CSREES...

- Provide a national perspective to individual projects or other activities and to the regional associations by assisting in reviews of their Multistate Research portfolios.
- Assist in assuring that a Multistate Research activity does not represent duplication of effort.
- Provide communication from and to the federal partner and provide administrative reviews of projects or activity proposals.
- Monitor, in conjunction with the AA, the progress and accomplishments of projects.

GENERAL POLICIES AND PROCEDURES FOR MRF PROJECTS

- The portfolio of projects and other activities should reflect the needs of the region's stakeholders and the priorities derived from those expressions of need and respond to national goals.

GENERAL POLICIES AND PROCEDURES

- Each SAES is free to address its priorities through participation in the any projects that are sponsored by its regional association as well as those sponsored any of the other regional associations.

GENERAL POLICIES AND PROCEDURES

- Membership to MRF activities (but not access to formula funding) is open to all SAES scientists, Extension educators, and others who are in a position to contribute to that activity. Institutions, organizations, or scientists that do not receive multistate research funds directly, must sponsor their participation from their own funding sources.

GENERAL POLICIES AND PROCEDURES

- Requests to join an approved on-going activity are forwarded to the AA with a completed Projected Participation (see format in Appendix E). The request must originate with the administrator of the proposed member's institution. The AA will consult with the technical committee to arrange for implementation and, working with the ED's office of the sponsoring regional association and CSREES, arranges for completing the necessary documentation.

GENERAL POLICIES AND PROCEDURES

- Changes in an on-going project which cannot be handled by addenda should be effected by amendments to the approved MRF project proposal. These are approved in the same manner as new projects or revisions.

GENERAL POLICIES AND PROCEDURES

- One standard type of governance for all Multistate Research activities is recommended with a chair, chair-elect, and secretary elected for at least two-year terms to provide continuity.

GENERAL POLICIES AND PROCEDURES

- All decisions related to the management of individual projects made by a committee will be made in an open and democratic process. Voting is restricted to one vote per respective entity; an entity being, for example, a SAES, CES, federal agency, or other sponsor..

GENERAL POLICIES AND PROCEDURES

- One AA will represent the sponsoring regional association, having management oversight responsibilities for that activity. In the case of NRSPs, one AA from each region shall be appointed, with one of those to be designated as the lead AA.

GENERAL POLICIES AND PROCEDURES

- Decisions regarding annual allocations to NRSPs are made at the spring meetings of the regional associations. All other decisions on national off-the-top funding are made at the annual meeting of the Experiment Station Section (ESS) by a simple majority of all eligible SAES directors present at the meeting and reported to CSREES. Eligibility for voting is defined as one vote per member station.

GENERAL POLICIES AND PROCEDURES

- The AAs for a new (or revised) NRSP will present the project and its five year budget to the regional associations at their spring meetings. The NRSP will be approved for five years. However, its budget will be voted on annually.

GENERAL POLICIES AND PROCEDURES

- Common Multistate Research activity proposal formats are used by SAES and the regional associations.
- Peer review will be conducted following the guidelines and certified in the sponsoring institution's state Plan of Work.

GENERAL POLICIES AND PROCEDURES

- A “Participation Report” (Appendix E) is a required component in all proposals for multistate research activities. This report must highlight the contributions that each scientist is to make; classify the activity as it relates to the federal/state partnership goals; provide summaries, as appropriate, for multidisciplinary research; and, at the discretion of the Director, highlight contributions to be made by Cooperative Extension staff for purposes of Plan of Work reporting.

GENERAL POLICIES AND PROCEDURES

- The AA of each Multistate Research activity will submit an annual SAES-422 to highlight the collective outputs, outcomes, and appropriate impacts resulting from an activity.

GENERAL POLICIES AND PROCEDURES

- All identifiers and titles of terminating projects will be changed at the end of their approved period unless specifically approved by the sponsoring regional association of SAES Directors and CSREES for an extension or renewal.

GENERAL POLICIES AND PROCEDURES

- Any MRF project may be approved for a period of time appropriate to the activities to be performed.

REPORTING

- For the Multistate Research Program, attention has been given to a reporting process needed to meet the intent of AREERA.

REPORTING

- **CRIS Forms** -- Forms approved by CSREES [the AD series and others] serve as the basis for planning, implementing and reporting on all projects approved for expenditure of Hatch formula funds.

REPORTING

- **Forms Used to Document Projects in CRIS** -- Directors are responsible for submitting
 - AD-416 Research Resume`
 - AD-417 Research Classification
 - CSREES-662 Assurance Statements

REPORTING

- **Other CRIS Forms -- AD-421 Annual Progress Report/Termination Report**
 - Due April 1 if reporting on a calendar year basis
 - Due March 1 if reporting on a fiscal year basis

REPORTING

- **Other CRIS Forms -- AD-419, the annual fiscal report of expenditures on all projects approved for expenditure of Hatch funds**
 - Call from CSREES usually during late fall
 - Due by following February

REPORTING

- **Other Forms -- CSREES Form 269 Financial status report on all federal grants and allocations of formula funds**
 - Call from CSREES usually during late fall or early winter after the close of the federal fiscal year (FFY)
 - Usually completed after AD-419 is submitted.

REPORTING

- **Other Reports -- CSREES Forms 23A and 23B, Human Resources/ Salary Report**
 - Annual report of salaries and rank
 - Due in late summer

REPORTING

- **Other Reports -- Recommendations on Funding of Multistate Research Projects (i.e., an Annual Program of Research)**
 - Initial or tentative budget recommendations for MRF projects due in the CSREES Multistate Research Office by or before the end of September with the final report containing any revisions --- due by December 1st.

Additional REPORTING

- **SAES-422---**

- The SAES-422 annual accomplishments report of Multistate Research activities approved by the SAESs is intended to facilitate a participating station's Plan of Work accomplishments reporting. This annual report serves to describe the collective accomplishments made by all participants.

Additional REPORTING

- **SAES-422---**
 - Locations of record for SAES-422 reports for MRF projects will be the CRIS. The EDs' offices archive reports for all other activities.

REPORTING

- **Plan of Work --**

- The annual report of accomplishments and results is due March 1st.

End of Presentation

Supplemental Information for New Directors

**—Steps in the Development of
Multistate Research
Activities—**

**-What-When-Where-To
Whom-**

Action Steps and Responsible Person(s) or Entity for Multistate Research Projects

- Approval of an ad hoc writing or development committee (Regional Association)
- Notify Multistate Research Office, CSREES (Executive Director)

Action Steps (MRF)

- Assignment of Administrative Adviser
(Chair, Regional Association)
- Assignment of CSREES Representative
(Multistate Research Office, CSREES)

Action Steps (MRF)

- Identification of writing committee
(Administrative Adviser)
- Authorization of first meeting of writing committee
(Administrative Adviser)
- Inform writing committee of all requirements - (Supply copies of appropriate materials from the guidelines (e.g., Appendices A, E, G, H and L) (Administrative Adviser)

Action Steps (MRF)

- Invitation to participate in the project
(Administrative Adviser)
- Completion of chart of resources
(Administrative Adviser; Station Directors)
- Review of draft proposal with comments to writing committee (Administrative Adviser)

Action Steps (MRF)

- Transmit proposal to each peer reviewer with review form
(Administrative Adviser)
- Response to peer reviewers' comments
(Writing Committee)
- Proposal with peer reviewers' comments forwarded electronically to Chair, Multistate Research Committee
(Administrative Adviser)

Action Steps (MRF)

- Proposal and peer reviews forwarded electronically to Multistate Research Committee
(Chair, Multistate Research Committee)
- Respond to recommendations of Multistate Research Committee
(Administrative Adviser; Writing Committee)
- Final draft of proposal forwarded electronically to Chair, Multistate Research Committee
(Administrative Adviser)

Action Steps (MRF)

- Final review of proposal and preparation of cover correspondence (Appendix M) addressed to the Multistate Research Office, CSREES
(Chair, Multistate Research Committee)
- Finished proposal with cover correspondence forwarded electronically to the Executive Director with notice regarding proposal status to the Administrative Adviser
(Chair, Multistate Research Committee)

Action Steps (MRF)

- Assignment of project series number
(Executive Director)
- Finished proposal and cover correspondence forwarded electronically to Multistate Research Office, CSREES
(Executive Director)
- Notification of writing committee regarding disposition of the project
(Administrative Adviser)

Action Steps (MRF)

- Project approval and notification to Directors of participating Stations and Executive Director (Multistate Research Office, CSREES)
- Preparation and submission of CRIS Forms (AD-416, -417, etc.)
(Directors of participating Experiment Stations)

Action Steps and Responsible Person(s) or Entity for Multistate Research CC, IEG or NRSP

- Preparation of proposal with a completed Chart of Resources
(Sponsoring Director and Selected Participants; Directors)
- Approval of proposal to create the Activity
 - CC or IEG (Regional Association)
 - NRSP (Regional Associations)

Action Steps (CC, IEG or NRSP)

- Notify Multistate Research Office, CSREES
(Executive Director)
- Assignment of Administrative Adviser(s)
 - CC or IEG (Chair, Regional Association)
 - NRSP (Chairs, Regional Associations)

Action Steps (CC, IEG or NRSP)

- Assignment of CSREES Representatives
(Multistate Research Office, CSREES)
- Authorization of first meeting and invitation to participate
 - CC or IEG (Administrative Adviser)
 - NRSP (Lead, Administrative Adviser)

Action Steps and Responsible Person(s) or Entity for Rapid Response Research Activity

- Preparation of proposal with a completed Chart of Resources (Appendix E)
(Two or more Sponsoring Directors)
- Electronic Submission of proposal to the Chair of the Regional Association (through the Executive Director)
(Sponsoring Directors)

Action Steps (Rapid Response Research Activity)

- Approval of the Activity
(Chair, Regional Association)
- Proposal is forwarded electronically to the Multistate Research Office, CSREES
(Executive Director)
- Assignment of Administrative Adviser
(Chair, Regional Association)

Action Steps (Rapid Response Research Activity)

- Assignment of CSREES Representative
(Multistate Research Office, CSREES)
- Invitation to participate
(Administrative Adviser)

Action Steps (Rapid Response Research Activity)

- Interim review of the Activity
(Multistate Research Committee)
- Decision during second year regarding continuation and development of proposal for an Association-sanctioned activity
(Technical Committee)

End