

DAGSI Operating Procedure OP-10

Preparation and Delivery of the Quarterly Status and Progress Report for All Projects Funded Under the Joint AFRL/DAGSI Research Program

I. GENERAL

This Operating Procedure defines the format and content, and provides other guidelines for preparing a Quarterly Status and Progress Report, which is applicable to all research projects funded under the Joint AFRL/DAGSI Research Program. Because each such research project emanates from and is responsive to a stated research need of the Air Force Research Laboratory, many elements of this report are similar to Air Force research reporting requirements. However, a key difference is in the area of quarterly financial reporting, which borrows from the financial reporting systems developed by the State of Ohio, and specifically the financial reporting scheme established between DAGSI and the Ohio Board of Regents (OBOR). Hopefully, the best of both systems are brought together here, while simultaneously retaining only essential elements of each source.

II. RESPONSIBILITIES

It is the responsibility of the designated Project Leader of each project team to assure compliance with this operating procedure. Further, members of each project team are responsible to the Project Leader for the timely reporting of the status and progress on their specific tasks. The Project Leader shall assure the timely delivery of a single Quarterly Status and Progress Report (the Report) to the DAGSI corporate office within the month following the Ohio fiscal quarter being reported. The Ohio Fiscal Year begins on July 1 and ends the following June 30. For example, Ohio Fiscal Year 2000 (FY 00) begins on July 1, 1999 and ends on June 30, 2000. Each fiscal quarter covers three calendar months, and the first fiscal quarter of FY 00 is July 1 through September 30, 1999, and so forth. The signed Grant Agreement between DAGSI and each Lead Institution will specify the exact due date of the Report.

III. FORMAT AND CONTENT OF THE QUARTERLY REPORT

The Quarterly Report shall consist of four major elements: (1) An Executive Summary; (2) the Body of the Report; (3) an updated Milestone Schedule; and (4) a Financial Report covering the same fiscal quarter.

A. Executive Summary. A one-page executive summary shall be prepared, which summarizes, in bulletized format, the key accomplishments and events which have occurred in the quarter being reported. The Executive Summary shall also serve as the project identification and the report cover page, including the number and title of the

project, the period covered, the Lead and Partner Institutions, and the Project Team Leader. An example Executive Summary is shown at Appendix A.

B. Body of the Report. The body of the report shall address all major activities and accomplishments conducted under the approved project during this quarter, and shall specifically consider the current status; progress; issues; resolutions; and future plans of the project team. This report is primarily a technical report; however, management and financial issues should be addressed if they are or may be adversely affecting the performance of the team. Each principal investigator of a partner institution should provide a description of their institutional efforts on each task they are supporting, including a brief description of their technical accomplishments and developments. These inputs are to be provided to the Project Leader and integrated into the Report.

Other areas which should be included in the Report, when applicable, are any teaching activities or other activities (such as seminars, research conferencing, etc.) involving use of the Interactive Video Network (IVN), either planned or underway.

The report should also briefly address any significant results of conferences or relevant technical meetings which have a bearing on the project. Also, any presentations or publications emanating from the project should be reported. The status of deliverables such as technical reports, demonstrations, experiments, hardware, software, etc., should be tracked, and reported as these become due and are delivered.

The body of this Report should also address, in narrative form, any major financial items, such as the monetary value of any in-kind contributions made by the AFRL; Ohio or other Industry; or cost sharing by Lead or partner institutions during the quarter being reported. Letters describing such support and including the estimated dollar value thereof should be obtained from the source of the support and kept with the official project files of the Lead Institution.

For large variances in budgeted vs. actual expenses, as described in each Grant Agreement between DAGSI and the Project Lead Institution, a short explanation of each such variance should also be included in the body of the Report. Variances are reported in the Quarterly Financial Report (Appendix C).

This quarterly report should generally not exceed ten (10) pages in length, including the executive summary, the financial report, and the updated milestone schedule. Reporting of technical details, such as pages of equations, data sheets, computer printouts, etc., is unnecessary and is discouraged. Such details may be saved for theses, dissertations and formal Technical Reports.

C. Milestone Schedule. A master milestone schedule shall be prepared for each project and amended quarterly, as the scheduled milestones are accomplished. The major milestones may be depicted along task lines for each partner institution. Selection of such milestones is up to the project team and leader, provided the chosen milestones give adequate visibility into the project. The Milestone Schedule should depict an easily comprehended picture of the major activities accomplished to date, and those planned for the remainder of the project. It should include an "as of" date, which

is the last day of the quarter being reported. If necessary, a narrative section in the written report, describing any major changes in either milestone events or project schedule, should be provided. A sample Milestone Schedule is shown as Appendix B.

D. Quarterly Financial Report. This report shows the quarterly expenditure of DAGSI funds on the project, in two formats: (1) by Administrative categories, and (2) by work task. A sample Quarterly Financial Report is shown in Appendix C.

Since DAGSI funds are to be used primarily for faculty and student salaries, wages, and benefits of eligible Ohio academic institutions, all of the administrative categories shown may not be necessary. However, up to 10 percent of DAGSI project funds may be spent for special equipment or equipment modifications needed to conduct the approved project.

Overhead expenses are permitted, at a rate not to exceed the Government's current negotiated rate with the lead organization, based on DCAA audited and approved rates for similar projects. Employee benefits may include such items as FICA, federal and state unemployment benefits, 401k, health insurance, workers compensation, life insurance, vacation, sick leave, other leave, and holidays. If such benefits are known as a percentage of base salary for the paying institution, it is sufficient to report and use such percentage for administrative personnel, faculty, and students supporting an approved project.

Travel expenses should be separately reported. Reimbursement by DAGSI cannot exceed the maximum rates as determined by Ohio Administrative Code, Section 126-1-02. Travel expenses reimbursed by DAGSI are to project team members only (research faculty and students). Further, team members must be active participants in any technical conferences, meetings, seminars, symposia and similar events. By active participants is meant that the traveler is on the program to present a paper, give a lecture, chair a technical session, or similar activities.

Expenses associated directly with the publication and distribution of required reports are permitted and should be budgeted. Initially all publications will be sent to DAGSI for final review. DAGSI will arrange for further reproduction and distribution.

Expenses by task should add to the same totals as expenses by administrative category, and will also serve as a cross-check of total expenses. Showing the expense by task may be especially convenient for depicting the work of your partner institutions: For example Task 1 (WSU); Task 2 (OSU); Task 3(CSU), etc. This approach adds clarity and visibility into the project financial allocations. For DAGSI, it also provides the standard budget format, used in other business with OBOR, ODOD, etc., and gives visibility to the use of funds by research faculty and students, as well as by participating institution.

Experience has shown that each research partner institution should fill out a form similar to the attached Quarterly Financial Report (Appendix C) to cover their participation in a project, and provide this information to the Lead Institution for Lead's use in preparing the total project quarterly report. For each funded proposal, each partner institution is

expected to manage its budget within the dollar amounts shown for the tasks they have committed to perform.

In preparing the Quarterly Financial Report, use the form included herein as Appendix C as a guide. Round all budget numbers to the nearest dollar. Do not include any categories, such as "miscellaneous" or "other". If an administrative category is needed but not shown on the example, create your own and define it.

Additional financial guidance is included in the Grant Agreement between DAGSI and each Lead Institution, specifying the process to be followed and the documentation to be prepared in tracking, reporting, invoicing, and payment for work performed. A separate Operating Procedure, DAGSI OP-09, covers the allocation and disbursement of funds to the participating Ohio academic research institutions.

IV. DISTRIBUTION

This Operating Procedure shall be distributed by the DAGSI Corporate office to the DAGSI Operating Committee and the designated Project Leaders of the projects funded under the Joint AFRL/DAGSI Basic Research Program. Further distribution within each participating institution is encouraged to assure understanding and communication within each staff agency likely to be involved in this Program. Suggestions for changes to this Operating Procedure should be sent directly to the DAGSI Corporate office, and to the attention of the Director.

QUARTERLY STATUS AND PROGRESS REPORT FIRST QUARTER FY 2000

Project Nr.: VA-UC-99-01
Project Title: Multivariable Control of Satellite Clusters
Team Leader: Dr. Trevor Williams

Lead Institution: UC
Partner(s): AFIT

EXECUTIVE SUMMARY

- ?? In Task 1, UC and AFIT have successfully categorized and initially simulated various satellite cluster geometries. All major orbital perturbation sources are believed to be accounted for.
- ?? AFIT has mathematically demonstrated the use of synchronization signals to maintain relative geometry of a satellite cluster. This is a mathematical breakthrough....
- ?? The first draft of a curriculum for a new graduate-level engineering course, to be offered in Fall Term 2000, has been drafted and is under review at AFIT, UC, AFRL, and NASA-Lewis.
- ?? A major issue regarding project equipment modification was identified and resolved...etc., etc.
- ?? Other ... if and as appropriate.
- ?? Other ...
- ?? During this quarter, all major milestones were accomplished on schedule and under budget.

Reporting Period: July 1, 1999 through September 30, 1999

Appendix A.

DAGSI Master Milestone Schedule - Ohio FY 2000

DAGSI Master Milestone Schedule - Ohio FY 2001

MILESTONE / EVENT	CY - 1999						CY - 2000						CY - 2000						CY - 2001					
	JULY	AUG.	SEPT	OCT.	NOV.	DEC.	JAN.	FEB.	MARCH	APRIL	MAY	JUNE	JULY	AUG.	SEPT.	OCT.	NOV.	DEC.	JAN.	FEB.	MARCH	APRIL	MAY	JUNE
Task 1: (40%) Orbital Dyn. & Simulator Development																								
a. Orbital Dyn. Analysis	sl																	ΔC						
b. Simulator Development																								ΔC
Task 2: (35%) Control Low Dev. & Novel Propulsion Applications																								
a. Novel Prop. Application	sl																	ΔC						
b. Control Law Development																								ΔC
Task 3: (5%) Autonomous Est. & Navigation	sl																							
Task 4: (20%) Nano-Satellite Development	sl																							
IVN Course Development																								
IVN Course Offering																								
Data Deliverables																								
a. Quarterly Report	sS																							
b. Final TR																								
Hardware - Nano Satellite demo vehicle																								

Key:
 Δ=scheduled
 s=accomplished
 A=Approve
 AD=Advertise
 AP=Apply
 ANN=Announce
 AW=Award
 C=Complete
 D=Draft
 DIS=Distribute
 E=Edit
 I=Initiate
 P=Publish
 PL=Plan
 R=Review
 S=Submit

Appendix B.

EXAMPLE ONLY

Note: This is an Example Milestone Schedule, using information extracted by DAGSI from the approved descriptive documentation of the titled project. It shows only very basic information, and may not show the milestones selected by the project team. In general, somewhat greater detail in the number and frequency of milestones would be anticipated.

Joint AFRL/DAGSI Research Program
Quarterly Financial Report - DAGSI Funds Only

Reporting Period

7/01/99 through 9/30/99

1 Qtr., FY 00

Project Nr: VA-UC-99-01

Fiscal Quarter 1				Prior Year Actual	Current Quarter Budget		Year To Date			
Prior Year Actual	Actual	Budget	Variance				Prior Year Actual	Actual	Budget	Variance
						<i>By Administrative Category</i>				
0	22,831	23,391	560	0	10,426	1 Salaries & Wages	0	22,831	23,391	560
0	11,045	11,250	205	0	11,250	Faculty	0	11,045	11,250	205
0	7,045	7,211	166	0	3,477	Students	0	7,045	7,211	166
0	0	0	0	0	5,637	2 Benefits & Payroll Taxes	0	0	0	0
0	365	500	135	0	500	3 Tuition	0	365	500	135
0	0	0	0	0	0	4 Travel	0	0	0	0
0	963	1,000	37	0	1,000	5 Publications	0	963	1,000	37
0	12,100	15,000	2,900	0	0	6 Supplies	0	12,100	15,000	2,900
0	10,326	11,271	945	0	6,930	7 Equipment	0	10,326	11,271	945
0	64,675	69,623	4,948	0	39,220	8 G&A (Indirect) Costs	0	64,675	69,623	4,948
0	64,675	69,623	4,948	0	39,220	9 Total Expense	0	64,675	69,623	4,948
						<i>By Task</i>				
0	20,000	22,500	2,500	0	16,500	10 Task 1 (UC & AFIT)	0	20,000	22,500	2,500
0	20,052	22,500	2,448	0	16,500	11 Task 2 (UC)	0	20,052	22,500	2,448
0	1,914	1,914	0	0	1,914	12 Task 3 (AFIT)	0	1,914	1,914	0
0	22,709	22,709	0	0	4,306	13 Task 4 (UC)	0	22,709	22,709	0
0	0	0	0	0	0	14	0	0	0	0
0	0	0	0	0	0	15	0	0	0	0
0	64,675	69,623	4,948	0	39,220	16 Total Expense	0	64,675	69,623	4,948

Appendix C.