

SERDP MANAGEMENT REPORTS

I. OVERVIEW

All SERDP-funded projects are required to submit the following management reports. Section II provides additional information on each report type and preparation guidance.

Report Title	Submission Requirements/Due Date	Description/Contents
Management Reports (Use SEMS* to create and update the following management reports.)		
Project Plan (PP)	PI enters into SEMS 7 days from receipt of funding or contract award.	Provides a detailed list of technical tasks and subtasks that are used to track the progress of a project. Subtasks are included for each required deliverable.
Project Overview	SERDP Staff prepares based on the proposal abstract. PI may be required to review or provide additional input.	Project Overview is posted on the SERDP website and provides a means for interested parties to find project and contact information. Includes: Objective, Technical Approach, and Benefits. SERDP may update the Project Overview during the course of the project based on PI input. SERDP updates the Project Overview at the completion of the project.
Directly Funded Performers (DFP)	PI enters annually into the Financials section of SEMS. Due upon request from the SERDP Office.	Provides information on how funding is distributed.
Expenditure Plan (EP)	PI enters annually into the Financials section of SEMS. Due upon request from the SERDP Office.	EP provides upcoming year's monthly spend plan.
Monthly Financial Report (MFR)	PI enters into SEMS by the 15 th of every month.	MFR provides monthly, incremental financial expenditure data.
Quarterly Progress Report (QPR)	PI enters into the SERDP Reporting module of SEMS quarterly: 15 January, 15 April, 15 July, and 15 October.	QPR is used to track technical progress. Includes: Tasks & Subtasks, Progress Past Quarter, Concerns, and Publications.

*SEMS is the SERDP and ESTCP Management System and can be accessed at <https://sems2.serdp-estcp.org/>. Direct questions to your Program Area Technical Assistant (PATA).

II. MANAGEMENT REPORTS

This section includes specific definitions of each report as well as report preparation and submission guidelines. The SERDP and ESTCP Management System (SEMS) is used for all project management reports.

Regardless of whether the project has a federal or non-federal lead, the technical lead organization is responsible for gathering the information from all participating performers, compiling it, and submitting it via SEMS.

Questions about SEMS should be directed to the designated Program Area Technical Assistant (PATA).

1. Project Plan

Requirements: Project Plans consist of tasks and subtasks that are used by SERDP to track the technical progress of a project. The project plan is entered in SEMS by the Principal Investigator (PI) 7 days from the receipt of funding or contract award.

Preparation Guidelines: PIs enter tasks and subtasks into SEMS. Tasks must match those outlined in the approved proposal. Project tasks should be broken out by subtasks in a manner that accurately reflects the work that is being performed. Each task must have at least one subtask. Project plans must contain sufficient detail to facilitate overall management of the project. Any sub-tasks related to technology transfer efforts should be grouped under a separate task.

Due dates are entered for all subtasks. Due dates should be realistic based on the actual start date of the project. Dates are locked for editing following approval of the Project Plan but may be revised with the permission of the Program Manager.

A subtask must be entered for every required deliverable such as an Interim or Final Report. All deliverable sub-tasks must be included under a task entitled “Project Deliverables”. Generally this will be the last task in the Project Plan. Due dates for final deliverables should be no less than two months before the end of the period of performance to allow for review and revisions. A “deliverable type” must be selected for all deliverable subtasks in order for the deliverable to be properly tracked in SEMS.

2. Project Overview

Requirements: Project Overview information is used for a variety of purposes, such as reports in SEMS, conference materials, and for posting on the SERDP and ESTCP website to promote technology transfer.

Preparation Guidelines: SERDP Staff extracts text from the abstract of the approved proposal at the beginning of the project and enters it into SEMS to create the Project Overview. Click the “Project Overview” link under “Overview & Plan” in SEMS to view the following information:

- *Objective.* A brief description of the environmental problem that the technology will address, emphasizing the relevance and importance of this problem to the Department of Defense (DoD) and a succinct objective of the project. Summarize what the project will accomplish and how the results will be applied to the problem.

- *Technical Approach.* A summary of the innovative aspects involved in the technical approach.
- *Benefits.* A brief description of the expected benefits to the DoD users and the scientific community.

Note: PIs are encouraged to view examples of Project Overviews of current and completed projects on the SERDP and ESTCP website (<https://www.serdp-estcp.org>) under Program Areas. PIs may be required to review or provide input into the Project Overview at the request of the PATA or PM.

3. Directly Funded Performers

Requirements: To promote rapid disbursement and receipt of project funds, SERDP PIs are required to enter in SEMS all pertinent funding information prior to the distribution of funds.

Preparation Guidelines: The PI should enter the following information into SEMS:

- All Directly Funded Performers (DFP) receiving funding from SERDP and subcontractors to the lead organization are entered into the “Contacts” section of SEMS. Note that non-federal organizations which are not the lead organization are not typically a DFP. These performers are a subcontractor to the lead organization or another Federal co-performer. Additionally, non-federal performers are not allowed to subcontract to a federal performer. Federal performers are always a DFP. Each DFP must be designated as such in SEMS.
- Contact information for the Technical Point of Contact (TPOC) and Financial Point of Contact (FPOC) for each DFP is entered into the “Contacts” section of SEMS. The Financial POC is the person at that organization who can accept funds from SERDP.
- The amount of funding that SERDP should distribute to each DFP is entered into the “Directly Funded Performers” section of SEMS.
- For all Federal DFPs, the amount of funding that must be sent as Direct Cite and/or Reimbursable is entered in the “Directly Funded Performers” section of SEMS. Direct Cite funds are used for contracts while Reimbursable funds are used for salaries, travel, and other in-house expenses at a Federal organization.
- The amount of funding assigned to each subcontractor. This information is entered for tracking purposes only.

Note: *Funds cannot be distributed until this information has been correctly entered into SEMS.*

4. Expenditure Plan

Expenditure Plans (EP) are entered into SEMS annually. EPs contain the total planned monthly expenditures of SERDP funds by all project performers, beginning the month funds for a given fiscal year are received and lasting until the funds for that fiscal year are fully expended.

Preparation Guidelines: Expenditure Plans are entered into SEMS in the “Expenditure Plan” section under “Financials”. The PI should consider the following when entering the EP:

- The initial Expenditure Plan should begin the month of contract award or receipt of funds and should span the period in which funds will be expended.

- Subsequent annual EPs will normally begin February 1 for continuing projects. If a project will be executing prior-year funds beyond February 1, the next year's EP should begin when the prior year funds will be fully expended and continue until the following February 1.
- Enter the planned monthly expenditures incrementally, not cumulatively.
- The monthly expenditures should reflect total anticipated expenditures for work planned each month for all performers, not just the lead organization. (See the MFR guidance below for the definition of "expended" for the purposes of all SEMS reports.)
- Award of sub-contract does not constitute expenditure of sub-contracted funds. Include the sub-contractor's incremental monthly expenditures in the total monthly planned expenditures along with the expenditures of DFPs.

5. Monthly Financial Report (MFR)

Requirements: MFRs provide the project's current financial expenditures. **MFRs are due the 15th of the month following the month of interest** (e.g., February 15 for January information). Submission of MFRs commences upon receipt of funding, and continues until all funds for a specific FY are expended and/or the SERDP project completes (i.e., the final deliverable is submitted and approved).

Note: It is possible that a project will be spending funds from multiple FYs concurrently. SERDP requires PIs to report the financial status for funds from all active FYs.

Preparation Guidelines: MFRs are entered into SEMS by clicking on the "Expenditure Plan" section under "Financials". To enter the MFR click the edit icon under the "Actions" column for the target month. Enter the funds actually expended in the MFR. Report a single amount that is the sum of expenditures of all performers on the project.

For the purposes of SEMS reports, funds are considered "expended" when some increment of work has been completed during the month and has been or will be billed to the project. If the PI's invoicing system provides an accurate reflection of expenditures on a timely basis, this may be used as input to the MFR. If not, the MFR should be the best estimate of the amount that will be invoiced for the month, including the work done by co-performers and sub-contractors. If actual invoiced values are not available, do not wait for invoices to be submitted, but make a best estimate of expenditures. Adjustments to these estimates may be accounted for in the report for the following month. **This is a management tool and not a formal auditable accounting system and, as such, expenditures for the MFR should not be confused with invoices.**

6. Quarterly Progress Report (QPR)

Requirements: The QPR documents a project's quarterly progress and allows the PI to convey any significant technical concerns that may affect future progress. **Quarterly Progress Reports are due by the 15th day of the month following the end of the fiscal quarter (1st Qtr - January 15, 2nd Qtr - April 15, 3rd Qtr - July 15, 4th Qtr - October 15). QPRs are required until the PI submits the final deliverable.**

Preparation Guidelines: SERDP requires technical progress updates at least on a quarterly basis, but data can be entered at any time. Click on "Quarterly Progress Report" under "Progress" and update the following sections as appropriate:

- *Project Plan.* Add completion dates, as appropriate. To make changes to any Task or Sub-Task dates, please contact your PATA.
- *Progress Last Quarter.* This section should constitute several substantial paragraphs that summarize work done on key tasks. Limit the entry to significant technical accomplishments related to the project for the reporting period.
- *Concerns.* Briefly describe any concerns that may affect the progress of the project.
- *Publications.* Enter the citation for Peer Review Journal articles, Conference Proceedings, Patent/Award information, or Technical Reports. Any publication resulting from SERDP work should include this acknowledgment: *“This research was supported wholly (or in part) by the U.S. Department of Defense, through the Strategic Environmental Research and Development Program (SERDP).”*

Supporting documentation such as graphics or tables may be uploaded through the “QPR Supporting Document” control.