

12 July 2004

MEMORANDUM

From: ONR 322PO (Physical Oceanography) Management

To: S&T performers

Subj: REQUEST FOR PO FY04 ANNUAL REPORTS

Encl: (1) "Report File" format guidance

Encl: (2) "Report File" formatted content guidance

Encl: (3) "Statistics File" format and content guidance

Encl: (4) "Statistics File" template

1. Annual reports for the FY04 basic and applied research are due at the Office of Naval Research (ONR) by 17 September 2004. The due date has been chosen to properly align reports with the year reported on and enable final product delivery to ONR management in time to contribute to ONR's internal future programmatic decision process. Everyone who received funding from us for efforts performed in Fiscal Year 2004 (1 October 2003 to 30 September 2004) is required to submit a report. If you are funded by more than one grant or contract you must submit reports for each effort. If you are just getting started on your research project, then your report will contain more about plans than progress. Guidance for the Annual Report and its associated "statistics file" is provided here and in enclosures (1) through (4).

2. The Ocean, Atmosphere, and Space Annual Reports CD-ROM (which will include your report) receives wide distribution throughout ONR, DoD, and the non-DoD S&T community. It has proven to be a highly useful resource, providing detailed information and justification for funding your research. To enhance the information contained for our wide viewing audience at least one compelling figure is highly encouraged in each report.

3. All reports must be UNCLASSIFIED. Reports containing sensitive (but still unclassified) information may, via discussion with your ONR sponsor, be limited in distribution to targeted audiences. Reports must not contain PROPRIETARY information that you do not desire to be distributed to a wide audience.

4. Two files are required for each effort.

a) The first is a presentation-ready "**Report File**" which ONR will archive onto CD-ROMs. Format guidance for the presentation-ready "Report File" is included in enclosure (1) with content guidance in enclosure (2). To provide for a high degree of uniformity in content, quality, and appearance on the CD-ROMs, your close adherence to the guidance is needed.

b) The second is a "**Statistics File**" which contains statistics and associated information required by ONR and DoD authority and also data to automate production of the CD-ROM. Format with guidance is in enclosure (3) and the template is in enclosure (4). To enable automated parsing into a Department-wide statistical database, please duplicate the template in enclosure (4) completely and exactly. The template is available for download at:

http://www.onr.navy.mil/oas/info/annual_reports/docs/fy04stat.txt

5. **IMPORTANT! Guidelines on Filenames**

Remember, the file name must begin with PO and be followed by the first six letters of your last name, e.g., an investigator by the name of Quentin Murray would name his file POMurray.doc, POMurray.txt, or POMurray.ppt. For multiple report submissions, use PO and the first five letters of your last name plus a corresponding number such as in consecutive order. As such, if Quentin Murray sought to submit three reports, he would name them POMurra1.doc, POMurra2.doc and POMurra3.doc and so on.

6. **Delivery Method**

Due to security concerns, the ONR File Transfer Protocol (FTP) access procedures have become restrictive and open anonymous access is no longer available. Please submit the annual reports via the **Annual Report Submission Page** (<http://onroutside.onr.navy.mil/aspprocessor/ar322/>)

In the submission page enter the requested information in the appropriate fields.

- Principal Investigator: Type in the Principal Investigator's first and last name.
- E-mail: Type in the originator's e-mail address (where confirmation of delivery is to be forwarded).
- Upload your submission(s): Use the "Browse" button to select your file to be submitted. Select "Send Submission" button; confirmation will be returned to originator. At this time, only one file can be uploaded at one time; you will be guided to the previous page to upload the statistics file (don't use the back button). If the site fails to provide you with an e-mail confirmation within an hour of submission or if any problems are encountered, please contact [Leroy Hayford](#) at (703) 696-7237 or [Mrs. Melody Egnor](#) at (703) 588-2578

Templates and additional information may be found at:

http://www.onr.navy.mil/oas/info/annual_reports/

7. **Accessibility Compliance:** In 1998, Congress amended the Rehabilitation Act to require Federal agencies to make their electronic and information technology accessible to people with disabilities. Under Section 508 (29 U.S.C. § 794d), agencies must give disabled employees and members of the public access to this technology that is comparable to the access available to others. The law applies to all Federal agencies when they develop, procure, maintain, or use electronic and information technology.

Specifically:

(1) All graphic/picture Titles and Captions must be part of the document text and NOT part of the graphic/picture itself, and
(2) IF THE CAPTION DOES NOT ALREADY DESCRIBE OR EXPLAIN THE GRAPHIC/PICTURE, then include in the Caption, in [brackets], a brief description of the graphic or explanation of the idea the graphic displays.
These minor changes will allow those who require assisted reading programs that can read only text to generally understand what the graphic/picture is about or was intended to convey. Two examples follow:

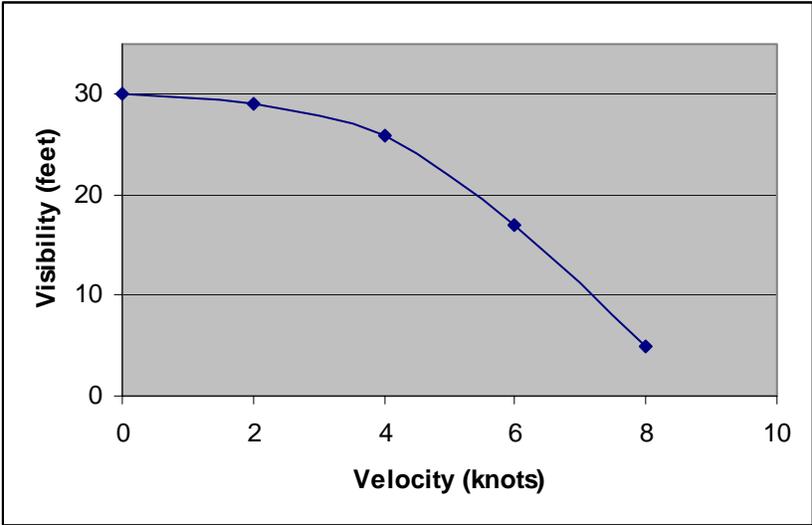


Figure 1. Fake River

{MINIMUM:} **[Graph of data from Fake River]**
{BETTER:} **[graph: visibility decreases at an accelerated rate as velocity increases]**
{BEST:} **[graph: visibility is 30 feet at 0 knots, 26 feet at 4 knots, 5 feet at 8 knots]**



Figure 2: The R/V Flip

{BETTER:} ***[The R/V Flip in vertical mode with antenna array deployed]***

Note: because the caption describes the picture adequately, the 'minimum' description is already met, but may optionally be made better as in this example.

ENCLOSURE (1) "REPORT FILE" FORMAT GUIDANCE

1. FONT:

- Times New Roman, Times, and standard Word or WordPerfect symbol fonts (or equivalent) typeface.
- 12 point (except Report Title only which will be 14 point).
- Report Title: "**Title Case**" (first letters capitalized), **Bold, 14 point.**
- All Header information (title, author info): centered; all other text: left aligned (NOT justified).
- Section Headings: "**ALL CAPITALS**" and **BOLD.**
- Picture or graphic titles and captions: ***Bold, italics, centered.*** (To meet 'accessibility' requirements, must be part of the report text and not part of the picture or graphic. If the caption does not adequately describe the picture or graphic content, include a brief description in brackets for the benefit of 'digital text' readers. Also, should not be a 'floating text box', which can lead to production order/alignment problems.)
NEW: if graphics are numbered, 'manually' number them, as 'automatic' numbering can lead to unexpected results during the conversion to PDF in some cases.
- Page Numbering: Optional. If used, 12-point font, centered, 0.5 inches from bottom edge.

2. MARGINS:

- 0.8 inches for TOP, LEFT, and RIGHT
- 1.0 inch for BOTTOM

3. WORD PROCESSORS ("REPORTS FILE" only, see enclosure (3) for "statistics file"):

- **1st PREFERENCE: MS WORD** (.DOC) (no unique macros).
- **2nd PREFERENCE: WordPerfect** (.WPD) (no unique macros).
- **3rd PREFERENCE: RTF** (.RTF)
- **If MS Word, WordPerfect, or RTF ARE NOT OPTIONS, THEN AND ONLY THEN:** Adobe Portable Document Format (.PDF). If you use this option, you must be available by email and ready to incorporate edits/reformatting as requested, and resubmit in a timely manner.

Use the following Adobe Acrobat Distiller settings (which will produce better resolution than needed for onscreen viewing and very acceptable resolution for local printing while keeping files sizes reasonably smaller):

- a. In the Distiller program, select Menu Item: "Settings" >> "Job Options"/"Edit Adobe PDF Settings..."(depending on Acrobat Distiller version used):
 - Tab "General": Check "Optimize for Fast Web View"; set "Resolution" to 300 dpi; "Compatibility" to version 5.0
 - Tab "Compression"/"Images": set all six "dpi" boxes to 300; Check "Compress Text and Line Art" (older versions only)
 - Tab "Fonts": Check "Embed All Fonts"; Check "Subset..." and set to 100%; Set "When Embedding Fails" to "Cancel Job"
 - Tab "Color": Set "Settings File" drop-down list to "None"; Set "Color Management Policies" drop-down list to "Leave Color Unchanged"

LATEX NOTE: if your source document is in LATEX, use Times New Roman Type I fonts, and not the default LATEX fonts, which display poorly on audience platforms that do not

have the particular LATEX font installed. Information on how to do this is at www.onr.navy.mil/oas/info/annual_reports/LATEXinfo.htm.

- Regarding the “Statistics” file: None of the options above are suitable for the associated “Statistics” file. See enclosure (3) for guidance for the associated "Statistics file" which must be in elementary ASCII text format (use a basic ‘text’ editor such as ‘Notepad’ or a word processor being careful to “save as” in an ASCII TXT or ‘Plain Text’ format).

4. **EQUATIONS:** It is recommended you use the standard MS Word Equation Editor or WordPerfect symbol fonts to add equations to your documents. If you use the standards provided with MS Word or WordPerfect, then you can be confident they will be translated properly in the conversion to PDF process and will read as intended on anyone’s computer. If you do not use standard MS Word fonts or equation editor, or WordPerfect fonts, and do not embed your equation fonts into your document, they will not display as intended in the final document on computers that do not have your ‘unique’ font installed on them.

If you must use other fonts or programs to create your equations:

- MS Word: can embed only True Type fonts into your document, thus ensuring they are available to all viewers. Failure to embed fonts used may result in individual’s computers “substituting” its own ‘best match’ font for yours, with unpredictable (and usually incorrect) results. For example, in MS Word, on the Tools menu, select ‘Options’, select the ‘Save’ tab, check the ‘Embed TrueType fonts’ check box, and to reduce the file size of your document, check the “Embed characters in use only” check box.
- WordPerfect: versions older than WordPerfect 2003 (aka WP 10) may not allow embedding of fonts. If fonts cannot be embedded, unique/non-standard WordPerfect equation fonts are required to allow correct conversion to PDF. In this case you must use another option, such as converting your equation to an image (GIF or JPG, for example) and inserting that image into your document (with a suitable caption entry for assisted readers).
- PDF: confirm the equation font is embedded in the PDF file. To confirm, with your document opened in Acrobat, from the menus, select File >> Document Properties >> Fonts, select “List All Fonts...”, and check that all equation fonts are annotated as “embedded”. If not embedded, then correct display will be dependant on computers, other than the one used to create the file, having that particular font locally installed.

5. **GRAPHICS** (If you provide PDF files, “b” through “d” (below) are essentially overcome):

- a) You are highly encouraged to include figures in your reports.
- b) “Title” and “Caption” must be in the ‘document text’ and not solely part of the ‘graphic image’ to comply with accessibility requirements which enables viewers using “text only” readers to understand the purpose/point of the graphic (“text readers” cannot read words that are part of the graphic).
- c) Centering graphics vertically BETWEEN paragraphs and not adjacent to paragraphs yields consistently good conversion to PDF format (PDF is the format used for all reports on the final CD-ROM product).
- d) MAC Users: DO NOT use MAC unique formats (such as PICT or TIFF(MAC)). MAC imaging/graphic programs typically default to PICT or TIFF(MAC) formats. Usually JPG or

GIF (either is acceptable) is normally a “save as” option. The MAC unique formats are incompatible with PC CD-ROM development platforms and yield unpredictable or, more usually, unacceptable results when viewed on PC computers. When ‘embedding’ a picture ‘object’ into the document, the embedded picture retains the format of the creating application and may not be viewable on, or printable from, all platforms. The preferred (and common) file formats of JPG (photo-like) and GIF (flat-color areas) generally embed nicely and are highly recommended. TIFF(PC) (but NOT TIFF(MAC)) and WMF formats, generally work well, also (though TIFF(PC) file sizes are usually much larger than their JPG or GIF equivalents). If we encounter conversion problems, we may have to solicit original pictures on short notice, so please keep copies of them readily available until you receive your production CD-ROM.

6. PAGE LIMIT: Reports should not exceed five (5) pages including figures. The limit excludes all text commencing with the paragraph “TRANSITIONS” (i.e., ‘Transitions’, ‘Related Projects’, ‘References’, ‘Publications’, ‘Patents’, and ‘Honors/Awards/Prizes’). Please DO NOT modify margins, font size, line spacing, etc. to meet the 5 page limit as these must be reformatted manually upon receipt.

ENCLOSURE (2) "REPORT FILE" FORMATTED CONTENT GUIDANCE

Title {14PT Times New Roman or Times, Bold, "Title Case", Centered}

{...one blank line...}

PI name {...centered..., remainder of document 12PT}

address {...centered...}

{Note: a copy of the final CD-ROM will be mailed to the address listed. An incorrect/incomplete address will preclude successful mailing of the final CD-ROM.}

phone: (xxx) xxx-xxx fax: (xxx) xxx-xxx email: xxx@wherever.edu {centered}

{one blank line before each CO-PI listed}

CO-PI(s) name {...centered...}

Address {...centered...}

{Note: a copy of the final CD-ROM will be mailed to the addresses listed}

phone: (xxx) xxx-xxx fax: (xxx) xxx-xxx email: xxx@wherever.edu {centered}

{...one blank line...}

Award Number: N00014..... {...centered..., NOTE:

- Universities/Non-Profits: normally refer to as "Grant Number",
- Industry/For-Profits: normally refer to as "Contract Number",
- Government Labs/Warfare Centers: normally refer to as "Document Number",
- **All start with "N00014" for ONR funded efforts**

http://... address {of the site(s) most closely related to this effort {...centered...}

{...one blank line...}

{...a second blank line...}

{Remainder of text is left aligned, except graphics}

LONG-TERM GOALS {BOLD, ALL CAPS}

{...one blank line...}

Briefly identify your top-level goals within which your effort exists. *{no paragraph indenting, use blank lines to separate paragraphs}*

{...one blank line...}

OBJECTIVES {BOLD, ALL CAPS}

{...one blank line...}

Scientific or Technological Objectives of this effort.

{...one blank line...}

APPROACH {BOLD, ALL CAPS}

{...one blank line...}

Describe your proposed technical approach. Briefly identify the key individuals participating in this work at your own or other organizations and the roles they play.

{...one blank line...}

WORK COMPLETED {BOLD, ALL CAPS}

{...one blank line...}

Actual Tasks completed or Technical accomplishments.

{...one blank line...}

RESULTS {BOLD, ALL CAPS}

{...one blank line...}

Describe meaningful technical results achieved in the report fiscal year. Make the significance clear. Emphasize what was learned, not what was done. This should be a summary of significant results and conclusions, and, especially, any "new capabilities" generated.

{...one blank line...}

IMPACT/APPLICATIONS {BOLD, ALL CAPS}

{...one blank line...}

Potential future impact for Science and/or Systems Applications

{...one blank line...}

TRANSITIONS {BOLD, ALL CAPS} *(omit this section if there are none)*

{...one blank line...}

An S&T product has sufficiently matured and some organization (acquisition, industry, customer) outside of ONR is doing something with it. “Product” includes equipment, prototypes, original ideas/theories, and equations. Include ‘who’ that ‘organization’ is, how they are using it, and when it is expected to be used. It is of special interest if it is already being used or has had acquisition funds committed. Examples are ‘products’ entering acquisition, being used by industry, or being used by other S&T organizations like DARPA)

{...one blank line...}

RELATED PROJECTS {BOLD, ALL CAPS}

{...one blank line...}

Identify closely related projects and briefly describe the nature of each relationship (include web links as appropriate/available).

{...one blank line...}

REFERENCES {BOLD, ALL CAPS} *(omit this section if there are none)*

{...one blank line...}

List references for this effort.

{...one blank line...}

PUBLICATIONS {BOLD, ALL CAPS} *(omit this section if there are none)*

{...one blank line...}

Papers/technical reports (‘refereed’ or significant non-refereed), books, or chapters; submitted, ‘in press’, or published.

IF ‘PUBLISHED’ or ‘IN PRESS’, note so at the end of the item in brackets; for example: “... [published]” or “... [in press]”, otherwise ‘submitted’ will be assumed.

IF ‘REFEREED’, note so at the end of the item in brackets; for example: “... [published, refereed]”, otherwise non-refereed will be assumed.

Do Not include papers in preparation or development.

{...one blank line...}

PATENTS {BOLD, ALL CAPS} *(omit this section if there are none)*

{...one blank line...}

List all patent applications / awards for the project not reported in prior year’s reports, or that have been previously reported but whose status has changed.

Note at end of item whether patent has been “GRANTED”, for example: “...[granted]”, otherwise “pending” will be assumed.

{...one blank line...}

HONORS/AWARDS/PRIZES {BOLD, ALL CAPS} *(omit this section if there are none)*

List any received and not previously reported. Include recipient, recipient’s institution, award ‘name’, and award sponsor.

ENCLOSURE (3) "STATISTICS FILE" FORMAT AND CONTENT GUIDANCE

I. **NEW in 2004:** No changes have been made for this year.

NEW in 2003: The "Tech Transfer" section was removed in coordination with an expanded 'transition' definition in the formal "report". The 'field' identifying symbols "<.....>" were changed to brackets, "[.....]", to preclude problems with WEB browser display and possible future WEB report/statistics collection options.

II. "STATISTICS file" WORD PROCESSING only (as opposed to the "REPORT file"): A separate file in elementary ASCII text with the same file name as the "report file", but with a ".txt" extension is required. It can be produced on virtually any word processor, but must be "saved as" an ASCII text format (.txt) file (please do not save it as a Word or Wordperfect document rather than an ASCII text document and then merely change the DOC or WPD extension to TXT). This "statistics file" does not count against the report page limit. IMPORTANT: The "STATISTICS FILE" is the source of all PRINCIPAL INVESTIGATORS NAMES and REPORT TITLES used in the over 2500 HTML links on the "Annual Report" CD-ROMs. Therefore, if the title or PI names in this "Statistics file" do not match those in the associated "Report file", they will not match between the links and the actual reports.

III. GUIDANCE: The template in enclosure (4) must be duplicated exactly in order to allow automated parsing and database import. DO NOT edit the text inside (and including) the brackets ("[" and "]"") as this is what the parsing engine uses to identify which field the data is intended for. Extra spaces or tabs used for formatting are automatically removed when parsed to ensure tidy HTML display on the CD-ROM. Leave blank where appropriate (DO NOT insert "NA", 'zeroes', "none", etc., which must be manually removed). An electronic file of the template is available for download at:

http://www.onr.navy.mil/oas/info/annual_reports/docs/fy04stat.txt

NOTE there are NO SPACES or UNDERLINES within any [tag]. To include any corrupts the automatic 'parsing' operation.

| | |
|-------------------|--|
| [title] | <i>{use 'Title Case'; i.e., first letter of all major words capitalized. This is the title that will appear in indexes on the CD-ROM.}</i> |
| [awardNumber1] | <i>{for Universities/Non-Profits, referred to as a "Grant Number", for Industry/For-Profit, referred to as a "Contract Number", for Government Labs/Warfare Centers, referred to as a "Document Number". Always starts with "N00014" for ONR funded efforts}</i> |
| [awardNumber2] | <i>{use if a 2nd award number is being reported on by this report}</i> |
| [awardNumberMore] | <i>{if more than 2 award numbers are being reported on by this report, list all others here for 'manual parsing'}</i> |
| [keyWords] | <i>{separate with commas}</i> |
| [specialCat] | <i>{if applicable, in whole or in part, special program awards including: YIP, DEPCOR, DURIP, MURI, HBCU/MI, NICOP, SBIR, STTR, NOPP}</i> |
| [pi1] | <i>{first name first (this, and names following, will be used to build indexes on the CD-ROM)}</i> |

[pi2] *{if there is a co-author; first name first}*
[pi3] *{additional co-author; first name first}*
[pi4] *“*
[pi5] *“*
[piMore] *{if more than 5 co-authors on the report, list all others here for ‘manual parsing’}*
[totalUndergradStudents] *{# of undergrad students supported}*
[totalUndergradWomenStudents] *{# of women undergrad students supported}*
[totalUndergradMinorityStudents] *{# of minority grad students supported. Minority is defined as African American, Hispanic, Native American, and Pacific Islander}*
[totalGradStudents] *{# of grad students supported more than half-time}*
[totalGradWomenStudents] *{# of women grad students supported more than half-time}*
[totalGradMinorityStudents] *{# of minority grad students supported more than half-time}*
[totalPostDocs] *{# supported more than half-time}*
[totalWomenPostDocs] *{# supported more than half-time}*
[totalMinorityPostDocs] *{# supported more than half-time}*
[bestAccomplishment] *{single most significant accomplishment in 3 lines (255 characters max)}*
[comments] *{any comments or suggestions regarding the collection, production or distribution process you desire to pass. This will not become part of the final product, but will be considered for future evolutions (255 characters max)}.*

Enclosure (3)

ENCLOSURE (4) "STATISTICS FILE" TEMPLATE

[title]
[awardNumber1]
[awardNumber2]
[awardNumberMore]
[keyWords]
[specialCat]
[pi1]
[pi2]
[pi3]
[pi4]
[pi5]
[piMore]
[totalUndergradStudents]
[totalUndergradWomenStudents]
[totalUndergradMinorityStudents]
[totalGradStudents]
[totalGradWomenStudents]
[totalGradMinorityStudents]
[totalPostDocs]
[totalWomenPostDocs]
[totalMinorityPostDocs]
[bestAccomplishment]
[comments]