

May 9, 2017

TO: Directors, Organized Research Units and Centers

FROM: Timothy Sherwood
Associate Vice Chancellor for Research



RE: Annual Report for the 2016-2017 Fiscal Year

In accordance with the UCOP *Policies and Procedures Concerning Organized Research Units*, I am calling for your 2016-2017 Annual Report. I realize that you and your staff invest a great deal of time and effort in your report, and I can assure you that it is worth it. These reports are critically important in assessing the quality and vitality of our research organizations.

This year, we are requesting that your Annual Report be linked to your Web site by Wednesday, **October 4, 2017**. Please send the link to your website along with supplementary materials to Raphaëlla Nau at, nau@research.ucsb.edu. The Office of Research will function as the office-of-record for a hard copy. You may find it beneficial to maintain Annual Reports from prior years on your Web site in order that they may be easily referenced by review committees.

Guidance on the content and format of your Web-based report, and the required supplementary materials, is attached.

Please call Raphaëlla Nau, 893-4180 or nau@research.ucsb.edu, if you have any questions.

cc: ORU Business Officer

Attachments

I. GUIDELINES FOR WORLD WIDE WEB SITE ANNUAL REPORT OF ORUs

We encourage flexibility in electronic format. The structure of links, and use, or not, of visuals, is left to your discretion.

It is important that you include all of the following information, linked, more or less, in this order:

- A. Annual Report "front" page (can be linked to your unit's home page): Please include the title of the report, fiscal year, title of the unit, campus, your name, and the name of any Associate Director. If applicable, the administrative e-mail address should be included, and a point of contact linked for further information.
- B. Table of links (functions like a table of contents)
- C. Mission Statement (no more than three sentences)
- D. Director's Statement: This is an overview of the "state of the unit." Please keep it succinct, but eloquent. I would particularly like to ask you to focus on the quality of research in your unit. Quantitative information is important but qualitative information is extremely important for external reviews. This section should be written in terms understandable to people in other disciplines and include:
 - a discussion of the current mission and goals of the unit
 - how the goals and purposes for which the unit was established have evolved over time to reach its present state.
 - how the unit contributes to the academic needs of the University and/or enhances the instructional and research mission of the campus
 - how the unit responds to the needs of the public on the local, state and national level
 - a summary of any significant trends (new research directions, dramatic increase or decrease in extramural funding, change in outreach efforts, etc., for 2016 - 2017)
 - (optional) major research discoveries or other significant achievements (in plain English) for 2016-2017
 - any other information, not found elsewhere in the Annual Report, deemed relevant to an evaluation of the unit's effectiveness
- E. Organization Chart
- F. Other Projects and Activities:
 - Academic Projects: List other ORU/Unit activities such as major conferences, workshops, and symposia.
 - Research Experiences for Graduate Students: Include most significant of these.
 - Research Experiences for Undergraduates: Include most significant of these.
 - Public Service Activities: Provide a brief description of prominent service activities. Please include K-12 outreach activities under this category.

- Other Activities: Any significant function of the unit that is not covered above.
 - Center or Research Group Reports (if any). Please include a brief synopsis of the Center's mission and goals for the year. You may include major achievements and a list of the participants in that Center if desired. (Hint: the use of links should minimize this part of the activity.)
- G. Awards Administered: Provide a summary of contract and grant awards administered listing the Principal Investigator(s), agency, C & G award number, title of the Project, begin and end dates and the dollar value of the project (award to date), with a one paragraph summary of the project. Please do not provide a listing of specific proposals submitted and whether they were awarded, denied or pending.
- H. Space: You need not make a Web page for this item (but it might be nice to let folks know visually where you are on campus). Please give us your space plans and updated space inventory irrespective of whether you included them on your Web pages. (See Section II.B)
- I. Publications: List of publications issued by the unit, including books, journal articles, and reports and reprints issued under its own covers, showing, author, title, press run, and production costs. The electronic template may be downloaded from the web at: <https://www.research.ucsb.edu/downloads/publications.xls>
- J. Statistical Summary: The electronic template may be downloaded from the web at: <https://www.research.ucsb.edu/downloads/statistical-summary.xls>
- K. Listing of your unit's Advisory Committee, Administrative, and Technical Staff
- L. Principal Investigator list: Please indicate name, title, and home department of all active Principal Investigators, and Co-Principal Investigators, who have submitted proposals and/or have active awards.
- M. If you have releases in place, you may include the names of Graduate and Undergraduate students as provided in II.D below.

II. GUIDELINES FOR SUPPLEMENTARY MATERIALS TO BE PROVIDED TO THE OFFICE OF RESEARCH

Notify Office of Research of the URL for your Web report by **October 4, 2017**. Simultaneously with the report, please provide the following:

- A. Fiscal Information: Please provide sources and amounts of support funds, including income from the sale of publications and from other services and expenditures of those support funds. Please distinguish between core funds and intramural funds (temporary research funds from UCSB, other campuses, and the Office of the President). Please be sure to list each recharge activity separately on the “Recharge” sheet. The totals are linked to the “Summary” page and will automatically be uploaded. The electronic template may be downloaded from the web at: https://www.research.ucsb.edu/downloads/budget_summary.xls
- B. Space: Please submit an updated space plan and copy of your most recent Budget and Planning space inventory.
- C. Names of graduate and undergraduate students: Please provide a listing of the names of graduate students and postdoctoral researchers directly contributing to the unit who (a) are on the unit's payroll, (b) participate through assistantships, fellowships or traineeships, or are otherwise involved in the unit's work. List also undergraduates on the payroll or otherwise participating in the research of the unit.