August 15, 2019

TO: Directors, Organized Research Units and Centers

FROM: Timothy Sherwood
Associate Vice Chancellor for Research

RE: Annual Report for the 2018-2019 Fiscal Year

In accordance with the UCOP Policies and Procedures Concerning Organized Research Units, I am calling for your 2018-2019 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.

The reporting guidelines have been revised this year. Please be sure to review them for the most up-to-date requirements. We are requesting that your Annual Report be linked to your website by Wednesday, October 30, 2019. Please send the link to your website along with supplementary materials to Raphaëlla Nau <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 website 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 are attached.

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

cc: ORU Business Officers

Attachments: Annual Report Guidelines
I. GUIDELINES FOR ELECTRONIC ANNUAL REPORT OF ORUs

We encourage flexibility in the 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). This should be the OR-approved mission statement.

D. **Overview**: Please give an overview of your organization; who you are and what you do. This is an overview of the "state of the unit." (2 pages)

E. **Executive Summary**: Please keep it succinct and eloquent. This section should be written in terms understandable to people in other disciplines and include:
   - A non-administrative report of your unit's research accomplishments and impact. Include the most significant of these. (1-2 pages), and
   - An update to the past year’s 5-year projection of your unit's plans and aspirations. Include any benchmarks or objectives met (1-2 pages).

F. **Organization Chart**

G. **Listing of your unit's Advisory Committee, Administrative, and Technical Staff**

H. **Statistical Summary**: The electronic template may be downloaded from the web at: [https://www.research.ucsb.edu/media/87361/statistical%20summary_18-19.xls](https://www.research.ucsb.edu/media/87361/statistical%20summary_18-19.xls)

I. **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.

J. **Names of Postdoctoral Researchers, 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 (c) are otherwise involved in the unit's work. List also undergraduates on the payroll or otherwise participating in the research of the unit.

K. **External Participation**: Please include information regarding student and faculty participation from other campuses or universities. List their name affiliation and project/program in which they participated.
II. REQUIRED SUPPLEMENTARY MATERIALS TO BE PROVIDED TO THE OFFICE OF RESEARCH

Notify Office of Research of the URL for your Web report by **October 30, 2019**. Simultaneously with the web 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. This should give a clear picture of how your unit's operating costs. 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/media/87353/budget%20summary.xls

B. **Critical Needs**: Please provide us with a prioritized list of your unit’s critical needs.

C. **Space**: Please provide a description of the space currently occupied by your unit. This should include research, administrative, and any alternative uses of space. Please also provide your Facilities Link space data and include the name of the occupants for the listed space. You may also provide your readers with an idea of where you are located, by including a map to your building.

D. **Center Reviews**: If any of the centers within your unit were internally reviewed during the fiscal year, please provide a memo detailing the results of that review. Please be sure to include a decision to continue or discontinue the unit in the memo.

III. OPTIONAL INFORMATION

A. **Other Projects and Activities**:
   - **Academic Projects**: List other ORU/Unit activities such as major conferences, workshops, and symposia.
   - **Research Experiences for Graduate and Undergraduate Students**: Include the most significant of these.
   - **Public Service Activities**: Provide a brief description of prominent service activities. Please include K-12 outreach activities (if any) 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.)
   - **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
B. **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.