

August 13, 2021

TO: Directors, Organized Research Units and Centers

FROM: Joseph Incandela  
Vice Chancellor for Research



RE: Annual Report for the 2020-2021 Fiscal Year

In accordance with the UCOP *Policies and Procedures Concerning Organized Research Units*, I am calling for your 2020-2021 Annual Report.

It has been a challenging year and your units have not only adapted but managed to handle a significant increase in workload under these new working conditions. I know that you and your staff invest a great deal of time and effort in your report, and I can assure you that it's worth it. These reports are critically important in assessing the quality and vitality of our research organizations.

As in prior years, we have made a few changes to the annual report guidelines which we hope will provide improved clarity and reduce your workload associated with compiling this report. Annual reports are due on **November 15, 2021**. As in past years, please link your annual reports to your website by the deadline and send the link to your website along with supplementary materials to Raphaëlla Nau <[nau@research.ucsb.edu](mailto:nau@research.ucsb.edu)>. *No hardcopy is necessary.*

You may find it beneficial to maintain Annual Reports from prior years on your website for easy reference by review committees.

The template and guidelines, including the required supplementary materials are attached.

Please contact Raphaëlla Nau <[nau@research.ucsb.edu](mailto: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 you to use [this template](#) as a starting point for drafting your report.

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 enter the unit-specific information in the spaces provided. Be sure to include your name, and the name of any Associate Director(s). 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): The table of contents is already linked to the section headers. If adding additional sections, please make sure to format the headers to the appropriate paragraph style.
- 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", and should include a summary of the observed trends in proposal and award administration. See Section M. (max. 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. (max. 2 pages),
  - Summary of the impact of the research shut down on your unit, 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: Download the template [here](#).
  - a. Personnel engaged in research: head count by category
  - b. Participation from outside UCSB: head count by category
  - c. Unit Operational Staff: # of FTEs, by category
  - d. Staff: Include the number of staff paid on university and non-university funds. See below for a definition for each category.
    - i. Administrative
    - ii. Computing
    - iii. Technical & Service (e.g. core facility staff, recharge personnel, etc)

- iv. Programmatic Staff
  - e. Sponsored Research:
    - i. Number of PIs, Co-PIs, and proposed PIs. Count each person only once.
    - ii. Proposals submitted: This data can be obtained from ORBiT from the Proposals by Department
    - iii. Awards issued: This data can be obtained from ORBiT from the Awards by Department
    - iv. Extramural awards administered: This data can be obtained from your shadow system/GUS. Include all awards open for at least one month during the fiscal year.
    - v. Awarding agencies: Count each sponsor once. Include sponsors to which proposals have been submitted.
  - f. Other Projects and Programs: Examples include donations, presidential awards, fellowships, anything that isn't core budget, extramural, or intramural
  - g. Budget and Space
    - i. Total Base budget: The total approved budget for the fiscal year.
    - ii. Total assigned square footage in ORU: Data is obtained from FacilitiesLink, your most recent space audit, or lease agreement or floor plan.
- I. Principal Investigator list: Using the table provided, please indicate the name, title, home department, and home division 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.
- L. Other Projects and Activities: Please list any significant function or activity undertaken by your unit.
- M. Proposal and Award Administration: Please include a chart(s) showing the changes in award administration over the last 5 years. This should include the number of projects administered, the dollar value of projects administered, the number of proposals submitted vs funded, value of proposals submitted vs funded. Trends should be explained in the Overview.
- N. Space: Please provide a description of the space currently occupied by your unit. This should include research, administrative, and any alternative uses of space.

You may also provide your readers with an idea of where you are located, by including a map to your building.

## II. REQUIRED SUPPLEMENTARY MATERIALS TO BE PROVIDED TO THE OFFICE OF RESEARCH

Please upload the required supplementary materials to the Unit-OR Shared Drive and save them in the annual Report folder. Notify the Office of Research of the URL for your Web report by **November 15, 2021**. Simultaneously with the web report, please provide the following:

- A. Fiscal Information: The Office of Research will provide fiscal information for inclusion in annual reports. Once this information is available, it will be shared with you.
- B. Space Details: Please provide your Facilities Link space data and include the name of the occupants for the listed space.
- C. 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.