GUIDELINES

The Annual Report has been slightly revised to achieve 2 major goals: (1) Identify and align strategic activities with available resources and (2) provide user friendly templates for the appendices. As always, we value your feedback, please send your comments to Fruma Yehiely and Joe Boes.

1. Due date: February 15, 2018.
   We truly appreciate receiving your reports on time as our timeline, for the programmatic and financial review of the 50+ reports, is tight and the process is synchronized. If extenuating circumstances prevent you from submitting the report by the due date please contact Fruma Yehiely.

2. Page limits: Up to 7 pages including graphics and illustrations but excluding appendices.

3. Responses to all sub-sections/line items are required. If not applicable, note NA.

4. Reports that do not adhere to the page limit or do not provide responses to all appropriate items will be returned for revision with a very short turn-around time.

5. Upload Word/Excel documents to Box within the relevant Institute or Center folder. Invitations and instructions will be sent via email as Box permissions are established. Contact Joe Boes with any questions or concerns in accessing and utilizing your Box folder.

6. Information is requested for the following fiscal years:

<table>
<thead>
<tr>
<th></th>
<th>Programmatic</th>
<th>Financial</th>
<th>Resources (space, personnel, other)</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2017</td>
<td>Progress and Achievements</td>
<td>Ending Balance-all funds – from GL069 data - Include all sources of funding Appendix 12</td>
<td>NA</td>
</tr>
<tr>
<td>FY2018</td>
<td>Year-to-date Progress and Achievements (very brief)</td>
<td>Projected Ending Balance - all funds Appendix 12</td>
<td>NA</td>
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<tr>
<td>Present through FY2019</td>
<td>Short-Term Goals</td>
<td>Anticipated Expenses/Requested Budget Appendix 12</td>
<td>Sections C1, C2, and C4</td>
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<tr>
<td>FY2020 - 2022</td>
<td>Long-Term Goals</td>
<td>Sources and Uses of Funds-Center/Institute Operating Funds Analysis Appendix 12</td>
<td>Sections C1, C2, and C4</td>
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OFFICE FOR RESEARCH

University Research Institutes and Centers

Center/Institute Name
(Center Acronym/Short-name)

FY2018 Annual Report

Reporting period: September 1, 2016 – August 31, 2017

Due: February 15, 2018

Director(s):
• Name

Prepared by:
• Name
# FY2018 Annual Report

## A. STRATEGIC OVERVIEW

1. **Background**
   Provide a very brief description of the Institute/Center history and evolution, and explain the fit as a University Research Institute/Center. *Institutes only:* include a concise description of the role that the Institute plays as an organizing principle for the Centers and Cores, thematically and operationally.

2. **Mission Statement**
   Provide a succinct mission statement. *Institutes only:* include the mission of the Institute and the mission statements of the individual Centers and Cores.

3. **Goals and Accomplishments Summary**
   Use the table below to list the major goals for the Institute/Center and align them with accomplished and/or planned activities designed to meet each goal. Identify metrics to measure the accomplishments against the goals. For the reporting year FY2017 provide only a very brief highlight of the accomplishments. There are plenty of opportunities in the report to expand the description of the progress and accomplishments.

<table>
<thead>
<tr>
<th>FY2017 Goals as reported in FY2016</th>
<th>Progress/Accomplishments Against Goals</th>
<th>Metrics to Measure Success</th>
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**Short-Term Goals** (present through FY2019)

<table>
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<tr>
<th>Planned Activities</th>
<th>Metrics to Measure Success</th>
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**Long-Term Goals** (FY2020-2022)

<table>
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<tr>
<th>Planned Activities</th>
<th>Metrics to Measure Success</th>
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4. **“SWOC” Analysis**
   Self-evaluation of Strengths, Weaknesses, Opportunities, and Challenges. Include in the analysis Core Facilities that are managed by the Institute/Center.

5. **Strategic Plan**
   Institutes/Centers are encouraged to develop and implement a strategic plan. If you have one, include it as Appendix 1. If the Institute/Center currently does not have a strategic plan, provide a preliminary plan to develop a strategic plan.

6. **Benchmarking**
   Provide information about similar Institutes/Centers in other institutions; describe similarities, differences, and benchmarking against them.
7. **Internal and/or External Advisory Board(s)**
   a. If the Institute/Center currently does not have internal and/or external boards, provide a preliminary plan to establish board(s) as applicable. If you have a board(s), address the following:
   b. Describe the engagement of the Advisory Board(s), how is it measured, and what is the added value to the Institute/Center?
   c. In FY2017 how did the Institute/Center address/follow up on previous recommendations by the Board(s)?
   d. For each Board Meeting in FY2017 provide a bullet-point summary of the following:
      i. Feedback provided
      ii. Recommendations
      iii. Next steps
   e. In Appendix 2 list the Board(s) members. Provide a separate list for each Board as applicable.

8. **Institute/Center Membership**
   a. Describe the criteria for Institute/Center membership and how do the criteria align with the Institute/Center mission and goals?
   b. Briefly describe membership types as applicable.
   c. Describe the process of becoming a member.
   d. In Appendix 3 list active membership.

**B. PROGRAMMATIC PROGRESS AND ACHIEVEMENTS**

The focus of this report is FY2017; however, you may include brief comments of a few major accomplishments during FY2018 and clearly mark them as FY2018.

1. **Research**
   List the major research projects in the Institute/Center.
   a. Provide a brief overview of each project and explain how it supports the Institute/Center mission.
   b. Provide a very brief description of the funding sources (including internal funding), state the agency, grant number, and end date.
   c. In addition to grants awarded directly to the Institute/Center, list all grants that were enabled by the Institute/Center, and describe the Institute/Center’s contribution to obtaining the grant.

2. **Interdisciplinary Collaboration**
   a. Describe the collaborative activities that the Institute/Center enabled and would have not have occurred otherwise. Examples include but are not limited to joint programs within the Institute/Center; between Institutes/Centers; with other units at Northwestern; with external domestic partners.

3. **Scholarly Output**
   a. In Appendix 4 list only scholarly outputs that were enabled by the Institute/Center. Examples of scholarly outputs are peer reviewed publications, books, reports, software, etc. For publications, list no more than 20 collaborative publications, focusing on those with the highest impact. Include only those that resulted from collaborations with multiple NU PIs in the Institute/Center, with their names in bold. Do not include individual faculty activities.

4. **Honors and Awards**
   a. In Appendix 5 list Honors and Awards of active Institute/Center faculty and students such as research, teaching, service, etc.

5. **International Collaborations/Activities**
   a. In Appendix 6 list international research collaborations; partners; exchange of personnel; joint publications/patents/research proposals with international collaborators; proposals to non-US agencies; invited talk at an institution abroad; international advisory role (advisory boards, consulting), etc. Do NOT include presentations at international conferences.
   b. In Appendix 6 list international teaching activities such as lectures/short-courses/educational activities abroad or by international scholars at Northwestern.
   c. In Appendix 6 list programs that send undergraduate and/or graduate students outside the US, including courses that carry credit, internships or similar experiences.

6. **Education**
For each of the programs below describe the added value of the Institute/Center to Northwestern’s education mission and list the number of Institute/Center affiliated trainees as applicable.

a. Undergraduate Students: List programs for, or affiliations with, undergraduate research, teaching and/or experiential learning. How does the Institute/Center stimulate undergraduate work on scholarly and creative projects?

b. Graduate Students: List affiliations with graduate programs, training grants and any other educational activities.

c. Postdocs: List postdoc programs/fellowships/training grants.

7. Outreach
   a. Briefly describe outreach activities to external groups/constituents. **Note**: Symposia/colloquia should be only provided in Appendix 7 and not duplicated here.

8. Societal Impact
   a. Briefly describe societal impacts made by the Institute/Center, examples include but are not limited to: translational/applicability of research, intellectual property disclosures, patents, licenses, start-ups, promoting diversity of staff/faculty/students in the Institute/Center, etc.

9. Core Facilities
   a. For each Core Facility managed by the Institute/Center provide as Appendix 11 the most recent Core Facilities Administration’s annual evaluation document (page with the spider-web analysis).

C. RESOURCES

1. Space
   a. In Appendix 8 provide information about the Institute/Center current space.
   b. Provide a projection of anticipated space needs and/or space improvements in the short term (through FY2019) and in the long term (through FY2022), including compelling justification.

2. Personnel
   a. In Appendix 9 provide an Organizational Chart. Use only the provided template.
   b. In Appendix 10 list the current personnel.
   c. Provide a projection of anticipated personnel needs in the short term (through FY2019) and in the long term (through FY2022), including compelling justification.

3. Financial
   a. All Funds Analysis: Prepare an “All Funds” analysis of the Institute/Center finances for Appendix 12 as provided in the attached Excel workbook, completing Summary, Personnel Detail, Non-Personnel Detail, New & Requested Justifications, and Sources and Uses worksheets. The purpose of this analysis is to provide a financial estimate of your net balance for FY2018, details for the request from OR for FY2019, and high-level projections for FY2020-2022.

4. Other Resources
   a. As applicable, describe other anticipated resources or needs in the short term (through FY2019) and in the long term (through FY2022), including compelling justification.

D. SUSTAINABILITY PLAN

Provide a sustainability plan for supporting the Institute/Center beyond FY2019.

E. APPENDICES

Appendix 1: Strategic Plan

Appendix 2: Advisory Board(s)
   a. For each Advisory Board list the names of the Board members, affiliation, title/position at their institution/company, and position on the Board.

Appendix 3: List of Active Institute/Center Membership
   a. List the active Institute/Center Membership. Include all tenure track faculty, research faculty appointed in the Institute/Center, adjunct faculty, and lecturers as applicable.
Appendix 4: Scholarly Output
List only scholarly outputs that were enabled by the Institute/Center. Examples of scholarly outputs are peer reviewed publications, books, reports, software, etc.
   a. For publications, list no more than 20 collaborative publications, focusing on those with the highest impact. Include only those that resulted from collaborations with multiple NU PIs in the Institute/Center, with their names in bold. Do not include individual faculty activities.
   b. List other scholarly output.

Appendix 5: Honors and Awards
   a. List Honors and Awards of active Institute/Center faculty, postdocs, and students (e.g. research, teaching, service, etc.).

Appendix 6: International Collaborations/Activities
   a. List international research activities, excluding presentations at international conferences.
   b. List international teaching activities.
   c. List programs that support sending undergraduate and/or graduate students outside the US.

Appendix 7: Outreach
   a. List symposia and colloquia organized by the Institute/Center. If a post-event survey was administered, provide a concise summary of the feedback.

Appendix 8: Space
   a. Provide basic SIMS level data for any space assigned to Center/Institute or occupied by Center/Institute appointed staff, including:
      i. CAMPUS: Evanston, Chicago, or Off-campus
      ii. BLDGDESC: Name of building (as described in SIMS if known)
      iii. RMID: Room number within building
      iv. GROUPDESC: Name of assigned organization (i.e. Institute/Center or Department)
      v. RMPERCENT: Provide the % of the room assigned to the listed organization under GROUPDESC
      vi. SPACETYPEDS: Describe the type of space for the room, e.g. Staff Office, Faculty Office, Cubicle, Laboratory, Lab Equip Room, Storage, etc.
      vii. AREA PRORATE: Square footage related to the listed GROUPDESC
      viii. OCCUPANTS: List all occupants of space
      ix. URIC COMPLETE SIMS SURVEY: Indicate whether Institute/Center administrative staff complete the SIMS survey directly

Appendix 9: Organizational Chart
   a. Use only the provided template to create the Institute/Center organizational chart. Contact Nick Angeloni (n-angeloni@northwestern.edu) for assistance.
      i. Clearly demonstrate reporting hierarchy of administrative staff, adding/removing levels as needed.
      ii. For each position include both names and titles.
      iii. Include only personnel involved in leadership and/or administration of Institute/Center; do not include technical/research staff or faculty unless they have a defined leadership and/or administrative role.
   b. Institutes only: Include all the Centers in the Institute organizational chart.

Appendix 10: Personnel
   a. List all current employees with positions in Institute/Center.
      i. Include employee ID number, working title, and official title listed in HR.
      ii. Include percent effort dedicated to Institute/Center.
      iii. Research personnel, postdocs, and graduate students should only be included if their primary HR administrative appointment is in the Institute/Center.

Appendix 11: Core Facilities
   a. For each core provide the most recent Core Facilities Administration’s annual evaluation document (page with the spider-web analysis).

Appendix 12: All Funds Analysis
   a. Any questions, concerns, or issues with utilizing the template, please contact Joe Boes.
   b. Rename template file name, replacing “URIC” with Institute/Center name.
   c. Cells where data entry is available will not be highlighted (white) and should be unlocked.
   d. When cell data is in “<>” this indicates that cell information should be replaced or hidden when N/A.
e. Values for credits/sources/revenue should be reflected as a negative (-) values and debits/uses/expenses should be reflected as a positive (+) values.

f. **Summary worksheet:**
   ii. Indicate whether Internal Operating chart string is a 110 or 171 in cell C7.
   iv. The remaining cells will be completed by entering data on the detail worksheets.
   v. Before submitting, ensure FY2018 Base and New/Request columns align to targets.

**Personnel Detail worksheet:**

i. Complete columns A:G with general position/employee and salary information. Note, including planned salary increases is necessary for financial planning purposes, but is not sufficient nor does it indicate approval for salary modifications.

ii. Column H allows modifying the Fringe Benefit category to be applied to “Other Positions”.

iii. Enter salary amounts to be sourced from Internal Operating in columns J:K and, for all other chart strings, in columns W and beyond. Select Fund from the dropdown in row 5 for columns W and beyond. Gifts (320) & (450) must be budgeted to project level, others may be combined.

iv. Salary reflected in column G should be fully accounted for on sheet, and column T provides an indication of match (✔ or ✗).

**Non-Personnel Detail worksheet:**

i. Enter/overwrite descriptions within categories (column A), expanding as needed.

ii. Enter expense amounts to be sources for Internal Operating in columns C:D and, for all other chart strings, in column P and beyond. Select Fund from the dropdown in row 5 for columns W and beyond. Gifts (320) & (450) must be budgeted to project level, others may be combined.

**New & Requested Justification worksheet:**

i. Once detail worksheets are completed, first review Summary worksheet to ensure distribution between FY2018 Base and New/Request align to target.

ii. On the New & Requested Justifications worksheet, use cell B4 to filter out zero values.

iii. Enter Justification for Request in column C for non-zero values, aligning the justification to the Institute/Center’s Strategic and Sustainability Plans.

**Sources & Uses worksheet:**

i. Enter FY2017 Actual activity in column C. The Fiscal Year End Position/Carryforward should be equal to the value indicated on Summary!J9.

ii. Enter any Sources from Other OR Sources and Non-OR Sources for FY2018 in column D. Gifts & Endowments, Carryforward, OR Operating, and Uses should be automatic.

iii. Request for FY2019 should be completed automatically (column J from Summary).

iv. Enter projections for FY2020-FY2020 in columns F:G to indicate major sources and uses of resources through the Strategic Plan period.

**Unlocked worksheet:**

i. This worksheet is provided for convenience to use as a scratch sheet for calculations and notes.