University Research Centers/Institutes
Annual Report
Fiscal Year 2017

The Annual Report has been re-designed to take a more strategic look both programmatically and financially. The goal is to identify and align strategic initiatives with resources. Specifically, the purposes of the revised annual report are to:

1. Assess progress against goals that were stated last year.
2. Develop programmatic short-term (one year) and long-term (through 5 years) goals.
3. Develop a financial plan that aligns with the short-term and long-term goals.
4. Provide information to evaluate the Center/Institute and to determine funding priorities and allocations.

Guidelines:
1. Due date: January 31, 2017.
2. Page limits: Up to 7 pages including graphics and illustrations but excluding appendices.
3. Please respond to every numbered line item (if not applicable, note NA).
4. Reports that do not adhere to the page limit or provide responses to all appropriate items will be returned for revision.
5. Information is requested for the following fiscal years:

<table>
<thead>
<tr>
<th></th>
<th>Programmatic</th>
<th>Financial</th>
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</thead>
<tbody>
<tr>
<td>FY2016</td>
<td>Progress and achievements</td>
<td>Ending Balance-all funds - GL069- Please include all sources of funding</td>
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<tr>
<td>FY2017</td>
<td>Year-to-date progress and achievements (very brief)</td>
<td>Projected Ending Balance - all funds</td>
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<tr>
<td>Present through FY2018</td>
<td>Short-term goals</td>
<td>Anticipated Expenses/Requested Budget</td>
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<tr>
<td>FY2019 - FY2022</td>
<td>Long-term goals</td>
<td>Sources and Uses of Funds-Center/Institute</td>
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<thead>
<tr>
<th></th>
<th>Programmatic Goals</th>
<th>Accomplishments Against Goals</th>
<th>Metrics to Measure Accomplishments</th>
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<tbody>
<tr>
<td>FY2016</td>
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<tr>
<td>Short-term (present through FY2018)</td>
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<td>Long-term (FY2019-2022)</td>
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3. Provide any information that you may have regarding similar Center/Institute in another institution, including similarities, differences and benchmarking. If you do not have such information already in existence, indicate: “information not known”. If you know that a similar Center/Institute does not exist, indicate: “unique”, domestically or internationally, as applicable.

4. Describe the Advisory Board(s) internal and/or external that assist with the development of the strategic plan for the Center/Institute (existing supporting documents from annual or semiannual advisory board meetings will be captured in Appendix 2).

C. Programmatic Progress and Achievements FY2016
The focus of this report is on FY2016; however, you may include brief comments of a few MAJOR accomplishments during FY2017, marked as such.

1. Center/Institute Major Accomplishments:
   1. Identify three major accomplishments in FY2016.

2. Research:
   1. List and provide a brief overview of major research projects that support the mission of the Center/Institute.

3. Interdisciplinary Collaboration:
   1. Describe one significant interdisciplinary collaboration in the Center/Institute.
   2. List the collaborative activities that the Center/Institute enables and would have not otherwise occur. Examples include but are not limited to joint programs:
      a. Within the Center/Institute.
      b. Between Centers/Institutes.
      c. With other Northwestern units.
      d. With external domestic partners.
      e. Demonstration of the interdisciplinarity of the activities in the Center/Institute.

4. Education:
   1. Describe one significant education program/affiliation.
   2. What is the added value of the Center/Institute to the education mission of Northwestern of undergrads, graduate students and postdocs?
   3. Undergraduate Students: List programs for, or affiliations with, undergraduate research, teaching and/or experiential learning. How does the Center/Institute stimulate undergraduate work on scholarly and creative projects?
   4. Graduate Students: List affiliations with graduate programs, training grants and any other educational activities.
   5. Postdocs: List postdoc programs/fellowships/training grants.

5. Outreach:
   1. Describe one significant outreach initiative in the Center/Institute.
   2. List significant outreach activities to external groups/constituents. (Note: Symposia/colloquia included in Appendix 3).

6. Societal Impact: Describe one significant societal impact made by the Center/Institute. Examples include but are not limited to:
   1. Translational/applicability of research.
   2. Promoting diversity within and outside of the Center/Institute.

7. International activities:
   1. Describe the most significant international activity in FY2016.
   2. List interactions with international partners, excluding presentations in international conferences.
   3. List any formal programs that send undergraduate and/or graduate students outside the US, including courses that carry credit, internships or similar experiences.
D. Resources

1. Financial:
   1. **Use of OR Funds:** Describe how recently allocated resources from the central budget and the Office for Research have been used by your Center/Institute.
   2. **All Funds Analysis:** Prepare an “All Funds” analysis of the Center/Institute finances for Appendix 8 as provided in the attached spreadsheet. The purpose of this analysis is to provide a financial estimate of your net balance for FY2017 and details for the OR request for FY2018. Financial assumptions to be used as well as other information regarding this schedule are listed in the Appendices section.
   3. **Justification:**
      a. **Recurring Funding Request:** Provide the justification of the requested funds from OR for FY2018 listed on the All Funds analysis (including spending limitations on use of gifts/endowments) for existing staff and flat operating expenses.
      b. **Changes to OR Funding Request, if any:** Identify specific incremental or reduced requests beyond salary inflation and flat operating costs, if any that are included in the FY2018 OR request. Include what is being changed, the dollar value, and rationale for each variance from (a) above.
   4. **Sources and Uses of Funds:** Included in the Appendix 8 spreadsheet is a new tab which summarizes your FY2018 request which asks that you provide a top level estimate of your OR request through FY2022. Additionally, provide, again at a top level, sources of center operating funds for the Center/Institute.

2. Space/Capital Needs:
   1. **Existing space utilization:** Provide information in Appendix 7 for your current space & capital equipment (nothing further required in this section).
   2. **Future growth and needs:** Provide a projection of capital equipment and space needs and/or improvements for immediate and short term (1 year) and long term (up to FY2022). For FY2018 and beyond, include anticipated needs from large center proposals if awarded.

E. Appendices

**Appendix 1: Personnel**

1. Organizational chart of the Center/Institute including the governance structure.

**Appendix 2: Advisory Board(s)**

1. List of advisory board(s) members and their specific responsibilities, if applicable.
2. Annual or semi-annual advisory board meetings documents (if applicable).

**Appendix 3: Progress and achievements metrics – FY2016**

Only Center/Institute activities should be included, *not individual faculty activities.*

Possible Quantitative metrics:

1. No more than 20 collaborative publications, focusing on those with the highest impact. Include ONLY collaborations (including books) with *multiple NU PI's in the Center/Institute*, with their names in bold.
2. Honors and awards of active Center/Institute faculty & students (e.g. Research, teaching, service).
3. Increase in diversity of staff/faculty/students associated with Center/Institute.
4. Symposia and colloquia held for internal and external audiences.
5. Intellectual property disclosures, patents, licenses, start-ups.

**Appendix 4: List of Active Center/Institute Membership**

1. Definition and criteria for Center/Institute membership; briefly describe the process of becoming a member.
2. List of faculty members.
3. List of research faculty; note those whose primary appointment is in the Center/Institute.
4. List of adjunct faculty and lecturers; note those whose primary appointment is in the Center/Institute.

**Appendix 5: Sponsored Awards and Proposal Activity - FY2016**

1. Provide reports on the Center/Institute’s sponsored awards and proposal activity for FY 2016, (September 1, 2015 through August 31, 2016, located in Cognos>Project Café Reports>InfoEd Reports). *Only proposals and awards within the Center/Institute should be included. NOTE:* If
you wish to provide additional data on activity outside of the Center/Institute that you feel are directly related to its existence, annotate and do so separately from the activity solely within the Center/Institute.

b. Cognos GM064 - Monthly Award Detail.
c. Footnote any known variances: e.g. FY2015 award that wasn’t included until FY2016 or FY2016 not included until FY2017.

Appendix 6: Sponsored Activity/Expenditures Managed in the Center/Institute - FY2016

1. Provide the Cognos GM011 Sponsored Research Expenditures Report for the Center/Institute. (Select Reporting Period=Fiscal Year and Accounting Period; Fiscal Year=2016; Accounting Period=August to yield results that cover the entire FY2016). This report should be run for your Center’s department ID. NOTE: If you wish to provide additional data on activity outside of the Center/Institute that you feel are directly related to the center’s existence, do so separately from the activity solely within the center.

Appendix 7: Current Space and Capital Equipment

1. Describe the space and location of the space directly assigned to your Center/Institute (Not SIMS level of data detail - square footage information is not required - list only quantity/type of offices, open work stations and lab areas).
2. List capital equipment>$100,000 outside of core facilities.
3. Assess the quality and quantity of the space used for Center/Institute activities, noting any space that is assigned to another school/department and whether work areas are shared, deficient or unused.
4. Note any known changes to the space that is/will be assigned to the Center/Institute.

Appendix 8: “All Funds” Analysis

1. Complete the attached All Funds analysis and submit separately in Excel. All Funds means all non-sponsored chart strings.
   a. Assumptions:
      i. Salaries: Assume a 3% increase in salaries for FY2018 over FY2017 levels.
      ii. Fringe Benefit Rate: 27.0%.
      iii. Endowment Payout (if applicable): Assume FY2018 payout rate = FY2017 level.
      iv. Operating Expenses: Operating budgets should be flat with funded FY2017 levels in keeping with university guidelines.
   b. Incremental Requests: If the request includes any incremental expenses over the assumption above, highlight and explain in the comment section of the Summary Worksheet tab.
   c. Projected Ending Balance FY2018: There is no prescribed level of reserves; these vary by Center/Institute and by the age of the Center/Institute. If you project a surplus in Total Available Resources at the end of FY2018 greater than $250,000, provide an explanation of the planned use of these reserves. As is expected for all units in OR, centers are expected to adhere to their budgets and not run a deficit- therefore it is expected that your projected FY2018 ending balance will not be in deficit.
   d. Gift and Endowment Spending: As stewards of gift and endowment funds, the spending of gift and endowment (payout) funds should precede the use of university funds. Any restrictions on the gift/endowment must be followed, but there is increased scrutiny on significant balances on these funds.
   e. Core Facilities:
      i. Forecast the ending FY2017 Fund Balance on Total 160 and 171 by Center/Institute.
      ii. The detail request is for personnel whose salary is partially supported by core facilities.
2. For Gifts and/or Endowments, complete the Fund Detail tab.
3. Complete the FY2018-FY2022 Sources and Uses. Provide, at a top level, an estimate of your projected use of operating funds, including anticipated OR request and all other sources of funds through FY2022.
## REVIEW CRITERIA

- As in previous years, the evaluations will be summarized in 2 separate “Balanced Scorecards” for programmatic and operational criteria.
- The review criteria below that align with the required information will be used in the programmatic evaluation.
- Similarly, Appendix 5 and 6 as well as metrics on fiscal responsibility and administrative operations (see below) – will be used in the operational evaluation.

### Programmatic Metrics

<table>
<thead>
<tr>
<th>Goal Alignment/Center Mission (Section B-1, C-4; Appendix 4)</th>
<th>Societal Impact (Section C-6)</th>
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<tbody>
<tr>
<td>Is the focal area critically important to the success of the university?</td>
<td>Service; applicability of research</td>
</tr>
<tr>
<td>Is it potentially transforming?</td>
<td>Does it make an impact on the outside world?</td>
</tr>
<tr>
<td>Does it draw new kinds of exceptionally talented faculty and students?</td>
<td>Diversity</td>
</tr>
<tr>
<td>Does it lead to new curricular development?</td>
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</tbody>
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<table>
<thead>
<tr>
<th>Fit as a University Research Center (Section C-3; Appendix 5/6)</th>
<th>Quality of Research (Section C-2; Appendix 3)</th>
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<tbody>
<tr>
<td>What would not happen if the Center did not exist?</td>
<td>Publications, patents, other intellectual property</td>
</tr>
<tr>
<td>What is happening because the Center exists?</td>
<td>Awards, honors or other recognition</td>
</tr>
<tr>
<td>What is the level of inter/cross/multi/trans-disciplinarily</td>
<td></td>
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### Operational Metrics

<table>
<thead>
<tr>
<th>Fiscal Responsibility</th>
<th>Growth in Sponsored Funding</th>
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<tbody>
<tr>
<td>Unapproved deficit(s), unplanned surplus</td>
<td>Growth in proposal and award dollars</td>
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<tr>
<th>Administrative Operations</th>
<th>Growth &amp; Diversity in Non-Sponsored Funding</th>
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</thead>
<tbody>
<tr>
<td>General administrative operations - timeliness, accuracy, completeness</td>
<td>Growth in gifts, endowments, self-supporting</td>
</tr>
<tr>
<td>Includes but not limited to payroll, purchasing, effort reporting</td>
<td>Diversification of sources of non-sponsored revenue sources</td>
</tr>
<tr>
<td></td>
<td>(including gifts, endowments, etc.)</td>
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<tr>
<th>Education: Graduate Students/Postdocs/Undergrads (Sec.C-4; Appx.3)</th>
<th>Outreach (Section C-5, C-7)</th>
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<tbody>
<tr>
<td>Educational or training programs or courses leading to a degree</td>
<td>Industrial/external relations programs</td>
</tr>
<tr>
<td>Other educational programs, including symposia and colloquia</td>
<td>Educational outreach programs (high school students, teachers)</td>
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