
FY 2018 Annual Reports – Office for Research

Any core facility that is supported by or plans to request support from the Office for Research should submit an Annual Report by May 1st (5:00 PM, CST). The report should be uploaded to SharePoint [here](#) (instructions for upload are located [here](#)). The narrative section should be submitted as a PDF file, and budget and usage data should be included using Excel templates provided online (either as a single file with separate tabs or as separate files).

Note: When answering questions about the "past year" for the Usage Reports, please use the April 1st to March 31st calendar year (not fiscal or calendar year). For the Budget Projections, refer to the fiscal year calendar (September 1st through August 31st).

The following information should be included in the Annual Report:

1. Administration (2 page limit)

- *History & Mission* - provide a brief history of your facility (including the year it was created, and dept. or center of origin); briefly describe its mission
- *Management* - describe the responsibilities of each *faculty* person involved in the daily management of the facility (Executive Director, Faculty Director, Operations Director, Manager); provide the names and academic affiliations of the people in these positions; describe any unique expertise that enables them to fulfill these roles; list the per cent effort of each person; describe any change in the positions, responsibilities or per cent effort in the past year; describe who handles the billing and payroll for your facility
- *Achievements* - for each member of the management team, provide a description of promotions, honors and awards during the past year that are directly related to the facility (put in Appendix)
- *Oversight* - provide the names and academic affiliations of the Chairperson and members of the Faculty Advisory Committee (Please Note: directors and managers are *ex officio* members of the Committee who may organize, but not lead, the meetings); describe any change in these positions or responsibilities during the past year; list the dates of each meeting of the Committee during the past year and provide the minutes of these meetings in the Appendix
- *(NEW) Research Safety and Business Continuity Plans* – where applicable, certify that all staff have completed any required research safety training for all relevant safety categories, and that ISIS is up-to-date; provide assurance that your facility's business continuity plan is up to date and stored online in SharePoint. Follow this link to upload the most current business continuity plan for your facility, <https://share.northwestern.edu/dept/OR-Core/SitePages/Home.aspx>

2. Research and Technical Staff (2 page limit)

- *Qualifications and Responsibilities* - describe the responsibilities of each research or technical *staff* person (non-faculty) involved in the daily operation of the facility (Manager, Research Associate, Research Technician, Research Specialist, etc.); provide the name, a brief job description, and qualifications of the people in these positions (full-time and part-time); describe any unique expertise that enables them to fulfill these roles; describe any change in these positions or responsibilities during the past year
- *Professional Development & Achievements* - provide a brief description of noteworthy accomplishments of the staff during the past year; these may include, but are not limited to, development of a new technique in the facility, new skills or

- mastery of new techniques, attendance at seminars, courses, workshops, national or international meetings (especially those with a core facility focus)
- *Presentations at Regional, National and International Conferences* - describe presentations at national and international conferences by staff during the past year (title of presentation, conference name, location, dates); make special note of any conference dedicated specifically to core facility issues (e.g., ABRF, MWACD, GLIIFCA, ALMA, etc.)
3. **Facility Publications and Grants** (put in Appendix)
- *Publications* - list all publications by members of the facility during the past year
 - *Grants* - list all grants submitted by facility personnel during the past year along with funding status
4. **Resource Management** (2 page limit)
- *Instrument-Based Facilities* - provide a brief description of each instrument available for use in the facility; use the Excel spreadsheet located [here](#) to provide usage data for each instrument, total revenue by investigator, total revenue by department, and usage data for OR-funded instruments. Put spreadsheet in Appendix.
 - *Service-Based Facilities* - provide a brief description of each service and/or product provided by the facility; use the same Excel spreadsheet provided above for instruments (insert services in place of instruments) and only complete worksheets 1-3. Put spreadsheet in Appendix.
 - *Cross-Core Services* - describe ways in which your core facility works with other core facilities to streamline services for researchers or administrators; explain how you are advertising such services to facilitate communication with researchers and administrators; describe potential opportunities for creating new services with other facilities and whether you are planning to implement them.
 - *New Instruments and Services* - describe any new instruments or services that were added to the facility in the past year and how they were funded; explain how they will be incorporated into the management plan of the facility
 - *Grant Applications for New Equipment* - describe any grant application for new instruments during the past year (granting agency, program, submission date, review score) and the outcome of the application process; if not funded, then explain how you plan to respond to the reviewers; include a copy of the Summary Statement from the Review Panel in the Appendix
 - *Space Management* - list total space (sq. ft.) of facility; describe where the instruments and services are located relative to the offices of the Manager and staff (campus, buildings, rooms); a floor plan with identification of facility space is required for facilities that extend beyond a single room; explain any space issues that interfere with the efficient operation of the facility; describe any use of space off campus and why this is necessary; if space is needed in the coming year (e.g., due to a new instrument, employee), describe how much is needed (sq. ft.), its purpose, and any services required (e.g., 220V)
 - *Budget* - provide a budget for the past fiscal year, the current year and the anticipated budget for next year (put in Appendix); use the spreadsheet located [here](#); the instruction guide is located [here](#). Please include all sources of revenue including grants, school and department subsidies. If there is a disparity between expenses and income (net deficit or net income), then explain how this disparity will be remedied in next year's budget; include your cost study for the current fiscal year. Put spreadsheet in Appendix.
5. **Operating Support Request** (3 page limit)
Funding of Operating Support for Core Facilities

- Requests for OR Operating Support should be made in the Annual Report (section 5); requests are for the following fiscal year
- Requests for OR Operating Support are for core facilities within FSM, WCAS, McCormick, and OR (including OR Centers); FSM provides additional operating support for core facilities [Note: the types of operating support that may be requested from OR are different than those requested from FSM, as described below]
- Requests for OR Operating Support are meant to encourage activities that enhance the research enterprise, subsidize value-added activities, or provide support in the case of unexpected adverse changes
- Requests for OR Operating Support should indicate how the funds will support the facility. Requests must fall into one of the following general categories:
 - Unexpected major change in customer base:
 - A major user leaves the University
 - Lost revenue due to maternity leave/FMLA
 - Equipment unavailability due to down time for *major* repairs
 - Staff expansion (see details below*)
 - Facility (satellite) expansion
 - Collaborative services with another core facility
 - External Equipment Grant writing
 - IT support for special projects (e.g., data storage and security, remote access to instruments and data)
 - Effort related to non-Core grant-based work and publications that enhance methodologies applicable to the Core (e.g. technique development)
 - External advertising, including webpage development
 - Professional Development (e.g. Kellogg programs for Core Staff)
 - Education and Outreach, including time spent on informal seminars and workshops for facility users
- Requests for Operating Support are NOT intended for the following purposes:
 - Renovation of space (direct request to appropriate Department/School)
 - Formal teaching initiatives (e.g. credit courses listed with the Registrar)
 - Deficit Reduction
 - Rate Reduction
- Operating Support requests must include the following:
 - Provide a detailed budget for each activity, including a formal cost estimate where appropriate (e.g., new staff*); explain how this will be paid by a combination of OR support plus user fees
 - Provide a rationale for each activity paying particular attention to why higher user fees would not be appropriate for paying for the activity
 - Describe the expected impact on research at Northwestern University
 - Describe matching fund support, if applicable
 - Provide metrics for evaluating whether this institutional investment will be effective
 - If operating support was provided the previous year, describe how it was specifically spent, and how it helped advance the research mission of the University
- Note that if a core is currently receiving Operating Support from OR, it is not eligible to receive additional support through this program

6. Customer Satisfaction Survey (1 page limit)

- *User Survey* – please put the summary of results in Appendix and address any problems raised by your customers
7. **Customer Base** (put in Appendix)
- *Customer Data* - using the date above (Resource Management-Facilities), evaluate the distribution of the customer base data by department and Principle Investigator
 - *Change in Customer Base* - compare the size of your user base with the previous year; identify major trends in the use of any equipment or service indicating a potential shift in the need for that instrument or service; provide an analysis of how such a trend will impact long-term support for the instrument or service and how this might be remedied
8. **Customer Publications and Grants** (put in Appendix)
- *Publications* - to the extent possible, list all publications of customers that involved data generated in your facility (alternatively, you may list up to 5 high-profile articles published in the past year); list customers by school and department
 - *Grants* - to the extent possible, list all grants submitted by customers that involved data generated in your facility (alternatively, you may list up to 5 high-profile grants awarded in the past year); list customers by school and department
9. **Educational Activities** (1 page limit)
- *Graduate and Undergraduate Courses* - describe any involvement of your facility in graduate and undergraduate courses (include course title, instructor, quarter in which it was taught, number of students); explain how this contributes to the mission of your facility
 - *Workshops* - describe any workshops or tutorials sponsored by your facility that were aimed at educating users of your facility; explain how this contributes to the mission of your facility
10. **Outreach Activities** (1 page limit)
- *K-12 Education* - describe any educational opportunities supported by your facility that involved groups outside of the university, e.g., weekend or evening programs for pre-college students and/or teachers; explain how this contributes to the mission of your facility
 - *Commercial Customers and Partnerships* - describe any involvement with companies as either customers or partners with your facility; explain how this contributes to the mission of your facility
 - *Pilot Testing of New Equipment or Services* - describe any testing of new equipment or services on loan in your facility and whether this resulted in pilot data for grant applications; list the grant applications (PI, funding agency, etc); explain how this contributes to the mission of your facility
11. **Communication of Services** (1 page limit)
- *Webpage Development* - describe efforts to upgrade and maintain your facility webpage during the past year
 - *Research Facilities Fairs* - describe participation in any Research Fairs on campus during the past year; address whether these were useful activities and how they might be improved
 - *Open Houses, Etc.* - describe any open houses or similar activities that your facility participated in during the past year; provide feedback as to whether they were useful activities and how they might be improved
12. **Self-Assessment** (2 page limit)
- Describe the strengths, weaknesses, opportunities and threats (challenges) to the facility and how they will be addressed in the coming year

- Provide OR's feedback on last year's annual report and how the facility is addressing any issues raised by the feedback
- If your facility is undergoing *Program Review* this year, expand your assessment to include what the facility has done since the prior program review (or since the facility was created) to address issues raised by the review or by OR in its annual feedback (additional 2 page limit)

13. Signatures

- *Signatures* are required for all members of the Faculty Advisory Committee indicating that each has read and approved the Annual Report; preparation of the Annual Report is an opportune time to have the Committee meet to discuss the issues raised in the Report and to provide input on decisions that need addressing

14. Appendix