Mission Statement

The Office of Research and Sponsored Programs (ORSP) is a support unit to faculty researchers that maintains a leadership and management role governing the development of external research funding, scientific integrity, and non-financial compliancy issues. ORSP also oversees the Office of Technology and Economic Development and through that office, supports contacts with local and national business, encourages economic development and secures intellectual property. In these roles, ORSP assists and supports efforts to secure, administer, and manage funding for research and sponsored programs, and furthers its primary mission through a more managed, strategic plan that helps to define and target future research investment more effectively.

Approved by: Carol T. Lunn
Executive Director, Office of Research and Sponsored Programs

Approved by: Scott L. Whittenburg
Vice Chancellor, Office of Research and Sponsored Programs and Dean of the Graduate School

February 10, 2011
### Non-Academic Program Assessment Form

**Assessment Cycle: 2009-2010**

**Program:** Office of Research and Sponsored Programs  
**Department Chair/Program Director:** Carol T. Lunn  
**Vice Chancellor:** Scott L. Whittenburg

<table>
<thead>
<tr>
<th>Goal</th>
<th>Goal 1. As Louisiana’s Urban Research University of National Stature, the University of New Orleans will rank in the Top 200 of American Research Universities by 2015. The University will continue to be recognized as a major research university as reflected by our designation as a Research University – High Research Activity by the Carnegie Foundation for the Advancement of Teaching.</th>
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</thead>
<tbody>
<tr>
<td>Measurable Objective</td>
<td>Objective 1.1 Grant at least 100 doctorates and appoint at least 20 postdoctoral researchers annually.</td>
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</table>
| Assessment Tool | a. Query number of doctorates produced for previous Summer, Fall and Spring (Summer 2009, Fall 2009 and Spring 2010)  
b. Query number of postdoctoral researchers appointed for previous fiscal year |
| What was your population and what was your population size? | a. Population was average Doctorate enrollment summaries for Fall 2009 and Spring 2010 which was 434.  
b. Population was entire number of postdoctoral researchers |
| What was your sample size? | The entire population was used rather than a sample. |
| What was your sampling method? | A query request was sent to Institutional Research and Data Management for the number of doctorates produced; a query was run for number of postdoctoral researchers hired in previous fiscal year |
| Actual Results Obtained | a. The university granted 60 doctorates which is less than the goal of 100  
b. There were 38 postdoctoral researchers which exceeds the goal of 20 |
| Strategies to Meet This Objective in 2010-2011 | Strategy 1.1.1: Strategically support and grow existing doctoral programs.  
Strategy 1.1.2: Identify and initiate additional new doctoral programs that will not only build upon institutional strengths but are also characteristic of nationally recognized research institutions.  
Strategy 1.1.3: Develop institutional practices that would allow high achieving undergraduate and graduate students to enter doctoral programs and exceptional graduate |
students to stay as postdoctoral researchers.

Strategy 1.1.4: Increase internship possibilities for graduate students.

Strategy 1.1.5: Develop best practices and methods to more closely integrate graduate education with funded research programs.

Strategy 1.1.6: Increase the number of full-time scholarships to support graduate fellowships.

Strategy 1.1.7: Continue support of a university-level bridge-funding program to provide support funds for doctoral students to complete their dissertation project.

Strategy 1.1.8: Encourage doctoral students and tuition as cost-share items when cost-sharing is required on proposals. Encourage support of postdoctoral researchers on external proposals, where appropriate.

Strategy 1.1.9: Increase participation in externally funded graduate student awards and scholarships, including the Board of Regents Graduate Fellows program.

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<tr>
<td>Measurable Objective</td>
<td>Objective 1.2: Generate at least $50M in total research expenditures annually and at least $40M in federal research expenditures annually</td>
</tr>
<tr>
<td>Assessment Tool</td>
<td>Departmental report</td>
</tr>
<tr>
<td>What was your population and what was your population size?</td>
<td>The population was all expenditure for external awards under the purview of ORSP.</td>
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<tr>
<td>What was your sample size?</td>
<td>Instead of sampling, use all university fund codes of 115xx, 120xx, 125xx, and 130xx which are overseen by ORSP.</td>
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<tr>
<td>What was your sampling method?</td>
<td>n/a</td>
</tr>
<tr>
<td>Actual Results Obtained</td>
<td>a. The sum of externally funded expenditures in FY 09-10</td>
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The sum of direct federal research expenditures in FY 09-10 were $15,841,160.46; the sum of pass-through federal research expenditures in FY 09-10 were $19,823,122.54; The total of all federally funded research expenditures in FY 09-10 were $35,664,283.00.

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<tr>
<th>Strategies to Meet This Objective in 2010-2011</th>
<th>Strategy 1.2.1: Establish and use criteria for prioritizing research investments for the University.</th>
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<tbody>
<tr>
<td></td>
<td>Strategy 1.2.2: Assess the university wide research infrastructure available to the academic community to determine areas which need additional resources and budget a portion of recovered indirect costs to improving research infrastructure.</td>
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<td></td>
<td>Strategy 1.2.3: Continue to produce marketing materials and a research magazine to enhance the national reputation and prestige of the university in order to open up significant partnering opportunities in emerging research areas.</td>
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<td>Strategy 1.2.4: Provide enhanced opportunities for faculty and staff members to travel to visit with federal agencies and attend workshops both on-campus and around the country.</td>
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<td>Strategy 1.2.5: Continue support of faculty development programs, including a summer research program to Stimulate Competitive Research (ScoRe), to increase the percentage of faculty involved in funded research.</td>
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<td>Strategy 1.2.6: Expand use of IRIS and develop improved tools to communicate significant proposal opportunities to research faculty and staff.</td>
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<td>Strategy 1.2.7: Develop a program to more effectively use federal initiatives, such as the SPAWAR contract vehicle, to strategically build research focus areas.</td>
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<td></td>
<td>Strategy 1.2.8: Continue to support a university wide program to support undergraduate research through Summer Undergraduate Experience (SUE) modeled after the NSF REU program.</td>
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</table>
Strategy 1.2.9: Develop stronger collaborative research ties with nearby research institutions including LSUHSC, Children’s Hospital and Xavier so as to improve funding opportunities for all institutions.

Strategy 1.2.10: Develop stronger collaborative research ties with local agencies, such as NASA/Stennis and develop stronger interactions with the New Orleans BioDistrict.

Strategy 1.2.11: Continue to work with the Gulf Coast Government Contractors Association (gcgca.org) to better connect with local, national and international companies so as to grow industry-sponsored research funding opportunities.

Strategy 1.2.12: Ensure that the Library and UCC have adequate funds to maintain support of campus researchers.

Strategy 1.2.13: Develop a plan for major multi-user software license and research equipment support.

Goal

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Measurable Objective

Objective 1.3: Support research/scholarly activity at the University such that at least 1 university faculty member is a member of the National Academy of Sciences, the National Academy of Engineering or the Institute of Medicine and at least 3 members of the faculty are current recipients of a faculty award in the Arts, Humanities, Sciences, Engineering or Health.*

Assessment Tool

Departmental report of faculty awards

What was your population and what was your population size?

Reviewed website for each award.

What was your population size?

n/a

What was your sampling method?

We reviewed the website for each award and entered recipients in PeopleSoft Professionals-Honors and Awards for historical record

Actual Results Obtained

One new Fulbright American Scholars Award and one NSF Career Award
| Strategies to Meet This Objective in 2010-2011 | Strategy 1.3.1: Ensure that new research/scholarly-active faculty members receive adequate support to initiate and sustain nationally recognized programs.

|  | Strategy 1.3.2: Ensure that all research/scholarly-active faculty members have time allocated as part of their faculty appointments to perform scholarly work.

|  | Strategy 1.3.3: Work to make faculty salaries competitive with those of peer institutions.

|  | Strategy 1.3.4: Establish a reward system to promote and recognize outstanding faculty productivity. Faculty with outstanding publication, presentation, grants, and number of Ph.D. completers should be appropriately rewarded as part of an overall accountability system for all colleges, departments, and faculty members.

|  | Strategy 1.3.5: Increase number of endowed chairs and professorships, including at least one endowed position in each academic college.

|  | Strategy 1.3.6: Continue to support the expanded Research Professors award (Early, University and Chancellors) to recognize junior and senior-level faculty members.

|  | Strategy 1.3.7: Establish a university-wide procedure for nominating deserving faculty for nationally recognized awards including discipline specific society fellows.

| Goal | Goal 2. Achieve technology transfer performance metrics equal to the average of US Universities.

| Measurable Objective | Objective 2.1: Rebuild the Office of Intellectual Property (IP) Management, improve outreach to faculty, students and potential commercial licensees to achieve the following performance metrics by FY 2015: 1 IP Disclosure per $2.5 million in University research expenditures; 1 new patent filing (provisional or utility) per 2 Invention IP Disclosures, subject to the quality of the disclosures; 1 new US or PCT utility patent filing per 7 Invention IP Disclosures, subject to the quality of the disclosures; 1 license or option agreement executed per 8 disclosures; 1 start-up per $90 million in University research expenditures.

| Assessment Tool | Departmental Annual Report with number of disclosures,
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<th>What was your population and what was your population size?</th>
<th>N/A</th>
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<tr>
<td>What was your sample size?</td>
<td>N/A</td>
</tr>
<tr>
<td>What was your sampling method?</td>
<td>Data Extracted from technology transfer data bases</td>
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**Actual Results Obtained**

In spite of significant human and financial resources constraints due to continuing budget cuts and a hiring freeze, results obtained in FY 2010 indicated progress towards the proposed FY2015 metrics/objective, as the strategies to rebuild and improve UNO’s technology transfer performance began implementation. NSF Reportable Research Expenditures = $32.58 million, with technology transfer metric depending on the amount of such research to drive intellectual property development and technology transfer metrics. Results obtained against objectives:

- Number of Technology Disclosures increased to 7, from 6 in FY 2009 and 0 in 2008 (base year). For FY 2010 this translates to 1 IP disclosure per $4.6 million in NSF reportable research $’s (progress toward FY 2015 objective)
- 6 patents were filed or 1 filing per 1.17 disclosures, with the quality of the disclosures for year being very good. (exceeded FY 2015 objective)
- 1 new US Utility patent filed or 1 per 7 FY 2010 disclosures (met 2015 objective).
- 2 option/license agreements executed or 1 per 3.5 disclosures (exceeded FY 2015 objective)
- 1 start-up company formed or 1/$32.58 million in research expenditures (exceeded FY 2015 objective)

**Strategies to Meet This Objective in 2010-2011**

- **Strategy 2.1:** Conduct IP training sessions both in groups and in 1 on 1 meetings with faculty and their students to encourage the disclosure of intellectual property that might be valuable.
- **Strategy 2.2:** Utilize BioInnovation Graduate Student Interns to assist in disclosure evaluations and developing marketing leads
- **Strategy 2.3:** Improve technology transfer website.
- **Strategy 2.4:** Expand implementation and utilize technology transfer office database software to improve IP tracking and office efficiency.
| | Strategy 2.5: Investigate opportunities to partner on or outsource certain technology transfer functions at reasonable costs to compensate for limited human and financial resources. |