

**RESEARCH ADMINISTRATION  
Strategic Plan Progress Report  
LF Huenneke, 6-08**

**[Please note: no formal planning process has been completed yet in the Research Division; this is to be a major activity during the remainder of calendar year 2008]**

**Division Description**

**a. Vision:** Faculty, students, and staff at Northern Arizona University are actively engaged in their disciplines and in scholarly work, and NAU is known and recognized as the major research university producing basic and applied knowledge addressing the challenges of the interior western US. NAU graduates understand the nature of research, investigation, and original work, and are prepared to contribute such work to their communities and employers. NAU is nationally known as a center for first-rate undergraduate research and creative work.

The university attracts substantial financial and other resources to support the scholarship and research of faculty, staff, and students. Research administration at NAU provides the expertise, service, and resources needed to facilitate and to promote the university's research agenda.

**b. Mission Statement:**

Northern Arizona University's research and creative activities result in new knowledge and innovation that

- strengthen the outstanding education provided by the university;
- foster the continued learning of faculty, staff and students;
- and benefit the environmental, economic, and cultural vitality of our region and society.

The mission of the Research Office at NAU is to foster opportunities for research, scholarship, and creative activity, and to ensure accountable and responsible management of resources in those endeavors.

**c. Values:**

- about our research activities: **innovative, creative, diverse, valuable to society and the region**

- about our research administration and services: **professional, competent, helpful and supportive, acting with integrity**

**d. List of reporting units:**

- **Office of the Vice President (including the IRB, Human Subjects Protection; Technology Transfer activities; and administration of internal and some external grant awards – TRIF, IGP, HURA, etc.)**
- **Office of Grant and Contract Services**
- **Central services and facilities for research:**
  - **Bilby Research Center**
  - **Vivarium / Animal Care / IACUC**
  - **Colorado Plateau Analytical Laboratory**
  - **Instrumentation Laboratory / Academic Shop**
  - **Research Greenhouse**

- **Research Centers and Institutes without an academic home:**
  - **Ecological Monitoring and Assessment Program**
  - **Ecological Restoration Institute**
  - **Arizona Water Institute**
  - **Educational Technology Consortium**

1. Environmental Scan (SWOT)

a. **External Analysis** (Outside NAU)

i. Top three most important opportunities

- Science Foundation Arizona investments in science, engineering and STEM education
- Focus of city, county, state on economic development for region
- National focus on undergraduate research and engagement

ii. Top three most important threats

- lack of awareness of NAU's research among ABOR, SFAz, etc.
- federal budget challenges for funding agencies and agency partners
- gaps in technology transfer and IP services

b. **Internal Analysis** (Inside the Division)

i. Top three most important strengths

- expertise within unit for compliance issues (OGC, animal care, IRB)
- great resources for researchers at Bilby, core facilities
- recent investment by university in advancing research

ii. Top three most important challenges

- growth of research and IP activity has not been met by growth in staff for compliance issues (esp animal care, lab safety, grants and contracts) and tech transfer
- gaps in development of formal policies and procedures
- both within service units (eg animal care, Bilby) and in research across campus as a whole (research centers in colleges), there is insufficient or no link between growing volume of activity and increase in resources (e.g., share in increasing indirect cost returns)

2. Division Goals by 2007 University Strategic Goals

University Strategic Goals	Divisional Goals	Primary Metrics
1. Learning-centered University	Undergraduate research support, expansion, assessment	Diversity of opportunities for students; external funding of UG research; external recognitions and media attention to UG research
	Graduate education and research	Numbers of graduate students completing theses or dissertations; external support for graduate students; rankings (if available) of graduate programs
	Increase scope and impact of scholarship overall	Numbers of faculty (and other) scholarly publications; media attention to research accomplishments; sponsored projects funding
2. Student Access, Learning, Persistence, and Affordability	Undergraduate research (as above)	As above
	Research partnerships w community colleges	Numbers of cc faculty and students participating in NAU research activities

3. Sustainability and Stewardship of Place	Strong partnerships w local agencies and non-profits	Number and diversity of external entities in formal research partnerships or providing funding
	Strong environmental and economic development programs in region	List of projects and partnerships taking place in Arizona and rural interior west
	Technology transfer activities	Invention disclosures, patent applications and patents, licensing agreements, license and royalty revenues
4. Global Engagement	Support international research collaborations	Number of NAU faculty and students engaged in international research collaborations and experiences
5. A Culture of Inclusion, Civility, and Respect	Ethical conduct of research	Numbers of reported or alleged instances of lack of compliance; timely and appropriate responses to any allegations; high awareness of issues among researchers
6. A Commitment to Native Americans	IRB, collaborations w tribes	Number of constructive partnerships with tribes in research and other partnerships;
7. Innovative, Effective, and Accountable Practices	Compliance activities; Reduce paperwork burdens; Clarify policies and procedures; Increase recovery of indirect costs	Numbers of reported or alleged instances of lack of compliance; timely reporting as required; researcher surveys of bureaucracy and difficulty of carrying out projects; effective indirect cost recovery rates.

### 3. 2007/2008 Accomplishments

University Strategic Goals	Accomplishments	Notes/Progress from Previous year
1. Learning-centered University	Assess undergraduate research relative to other institutions	
2. Student Access, Learning, Persistence, and Affordability		
3. Sustainability and Stewardship of Place	Building connections between city, county, TRIF activities	
4. Global Engagement		
5. A Culture of Inclusion, Civility, and Respect	Major strides in compliance with human subjects research regulation	
6. A Commitment to Native Americans	Improved IRB practices and	

	campus understanding of issues	
7. Innovative, Effective, and Accountable Practices	Establishment of Vice President Office; increased attention to compliance issues; major strides in compliance with human subjects research regulation	