

 جامعة الإمارات العربية المتحدة United Arab Emirates University  	<b>Research and Sponsored Projects Policies Manual</b>	Policy Number	RA-16
		Effective Date	12-Aug-2018
	<b>Subject</b> Research Centers and Institutes	Most Recent Review Date	15-Apr-2018
		Due Date for Next Review	01-Sep-2021
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## 16. Research Centers and Institutes

### Overview

Defines the creation, operation, and review of Research Centers and Institutes at the university.

### Scope

Applies to all Centers and Institutes that involve research of interdisciplinary nature.

### Objective

The objective of this policy is to provide institutional flexibility for accomplishing certain research, educational, and service missions while adhering to the University's policies and regulations concerning governance, fiscal control, and academic excellence.

### Policy

This policy and procedures provide a framework for the establishment of research Centers and Institutes that respond to the complex and interdisciplinary nature of many research, educational, and outreach programs for which traditional academic departments and colleges may not have the sufficient diversity in their faculty or adequate facilities and resources. The main areas covered in this document include:

1. Creation of research Centers and Institutes;
2. Administration and governance of Centers and Institutes; and
3. Reporting and review requirements of Centers and Institutes.

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## Procedures of Policy No. (16) - Research Centers and Institutes

### 1. Establishing a Center or Institute

- a) The idea for creating a new research Center or Institute can originate from any member of the university community or its stakeholders. However, the idea must mature into a formal proposal (see below) through a process of discussions and planning with the involvement of senior faculty members and administrators.
- b) It is the responsibility of the APR to recommend to the Vice Chancellor, through the Provost, the establishment of a Center or Institute by submitting a formal letter of endorsement accompanied by a complete proposal. The final decision to approve the creation of a new Center/Institute rests with the University Council and the Chancellor.

### 2. Preliminary Activities

A number of preliminary activities should occur prior to the preparation of the proposal in order to secure commitments of support from the relevant College Deans and Department Chairs, engage appropriate faculty, build sustained faculty involvement, and identify potential sources of funding. Such activities shall include:

- a) Assess the alignment of the proposed Center/Institute with the University's strategic goals and priorities.
- b) Consider the relationship between the Center/Institute and current academic units and other existing Centers/Institutes and articulate the need for and the "added value" of the proposed Center.
- c) Engage all potential stakeholders of the Center/Institute, including Deans, Department Chairs, and a broad range of faculty, who reflect the interdisciplinary diversity of this initiative.
- d) Demonstrate the Center's potential for attracting research funding from external sources.
- e) Engage members of the executive administration to address the financial and other commitments that will be needed if the proposal for a new Center/Institute is approved.

### 3. The Proposal

The proposal to establish a new Research Center or Institute must address the following points:

- a) **Title:** State the proposed name of the new Center/Institute.
- b) **Mission:** Provide a concise statement of the Center's vision and mission and a list of its goals and objectives. Make sure to link them to the strategic goals of the University and identify their relevance to national priorities.
- c) **Opportunity:** Describe the strategic elements, intellectual capital, research environment, and internal and external factors that provide favorable conditions for the success of the center.
- d) **Justification:** Provide persuasive evidence that the Center/Institute will include new activities or projects that could not be undertaken in its absence.

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- e) **Current activities:** Describe any relevant interdisciplinary research collaborations already underway that provide a foundation for the Center.
- f) **Research agenda:** Provide a summary of the research agenda of the Center, including brief descriptions of any funded and/or proposed projects to be managed by the Center.
- g) **Governance Structure:** Provide a description of the organizational structure and identify a director (or co-directors) and a steering committee. Justify these selections. Also, include a list of the academic units and principal faculty members involved in the center.
- h) **Commitment:** Provide specific details of the commitment and resources being requested. Make sure to include a list and a brief description of the initial and potential funding sources. Clearly identify any financial commitments being requested from the University (e.g., type, amount, year/duration, etc.).
- i) **Business Plan:** Develop a five-year business plan that takes into consideration the full spectrum of the proposed activities and projects.
- j) **Funding opportunities:** List and briefly describe funding opportunities (current and future) that may be available for the Center.
- k) **Performance Outcome:** Suggest a list of performance indicators and benchmarks (see below) that will form the base for reporting and review.

The University may provide core staff for maintaining the Center/Institute, however, the Center/Institute is expected to sustain its staffing through its project funding.

#### 4. Faculty and Staff Appointments

All appointments of faculty associated with the Center/Institute, regardless of the source of funding support, require that the faculty be appointed first in the primary academic department in one of the university's Colleges. Furthermore, appointments of staff members in the Center must be in accordance with the university's Human Resources policies and procedures.

#### 5. Administration

- a) Each Center/Institute will have a Director who is responsible for the implementation of the Center's mission and for the day-to-day administration of its activities. The Director can be either on full-time basis or a faculty member who receives partial release time from the University to direct the Center. In either case, the process of selecting a Director must be inclusive and must lead to appointing a highly qualified individual with a national and international recognition and reputation in the relevant discipline.
- b) Furthermore, the governance structure of each Center/Institute must include: (1) An Advisory Board, which consists of individuals external to the University who hold key positions in national or international organizations of strategic interest to the University and (2) a Steering Committee, whose members are recognized experts in the discipline areas relevant to the research agenda of the Center/Institute.

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## 6. Budget

A Center/Institute may have one or more budgets to support its operation. However, funds allocated to other academic or administrative units of the University may not support Center activities without the approval of the DVCAA or Secretary General as relevant.

## 7. Educational Activities

Centers and Institutes should develop educational programs to satisfy particular needs, which may include the offering of non-credit courses and training programs to internal and external constituents, provided such programs do not conflict with the offerings of the academic units and are not part of any degree program.

## 8. Outreach Activities

Centers and Institutes are encouraged to develop community and public outreach programs to promote awareness of the mission and work of the Center/Institute and, in some cases, provide services to other educational institutions, government agencies, businesses and the public.

## 9. Quantitative Benchmarks

Each proposed Center/Institute must have a set of indicators that would be used to track its progress and performance. The following is a suggested list of possible quantitative benchmarks some of which can be adopted in order to track the Center's performance:

- a) Publications.
- b) Citations of center publications.
- c) Research funded by the University.
- d) Research proposals submitted.
- e) Proposals funded.
- f) Diversity of funding sources.
- g) Support for personnel and students (Postdoctoral, Doctoral, Master, Undergraduate).
- h) Patents, licenses, etc.
- i) Honors and recognition.
- j) External/Industrial collaborations.
- k) Outreach activities.
- l) Educational programs.
- m) Amount of raised funds vs. internally appropriated funds.

## 10. Proposal Review and Center/Institute Formation

Upon the completion of the full proposal by the concerned deans, the following steps shall be followed leading to the eventual formation of a Center/Institute:

- a. Review and recommendations by external experts, including a hearing/discussion session on the proposal.
- b. Review and approval by the University Research Council.
- c. Approval of the APR.

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- d. Review and approval by the Academic Affairs Council.
- e. Approval of the Vice Chancellor.
- f. Review and approval of the University Council.
- g. Approval of the Chancellor.

## 11. Annual Reports

The Director of the Center/Institute is responsible for preparing and submitting an annual report to the APR on the Center's activities by the end of each academic year. The report must include the following:

- a) Changes from prior year: A summary of any changes from the Center's status of the previous year with regard to the mission and basic characteristics of the Center.
- b) Progress: A summary of progress towards the objectives cited in the report of the previous year.
- c) Objectives: An updated summary of the Center's short- and long-term objectives and priorities.
- d) Quantitative benchmarks: A tabulation of the Center's performance on its quantitative benchmarks. The table should include the performance of the current year in a column adjacent to last year's performance.
- e) Publications: A list of publications that are part of the Center's activities.
- f) Awards and proposals: A summary of the Center's research awards and proposals for the reporting year.

## 12. Reviews

In order to assess the Center/Institute is achieving its objections and whether it is on track to become sustainable, each Center should have a major review by an external committee after 3 years. The review committee shall comprise UAEU faculty or staff and external members who are selected and charged with the review task by the APR in consultation with the DVCAA and the Vice Chancellor. The purpose of the review should be to enhance the quality and performance of the Center/Institute. Centers should be discontinued when they no longer serve the purpose for which they were created. Such a decision should be made based on the outcomes and findings of the reviewers' report. The APR in consultation with the Vice Chancellor shall issue a fixed timetable for the review process to facilitate the review and to ensure that it is completed in a reasonable time.