

# **Guidelines and Procedures for Annual Reporting and Review Process for Organized Research Units**

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*The definition of ORU was established in the document detailing the guidelines and the procedure for establishing ORUs. The definition is presented in this document (Annex I) for convenience.*

# Contents

- 1. Purpose.....4**
- 2. Timing.....4**
- 3. Procedures.....4**
  - 3.1 Annual Reporting.....4
  - 3.2 Selection of Review Team.....5
  - 3.3 Review Materials.....5
    - 3.3.1 Overview.....5
    - 3.3.2 ORU Organizational Structure and Space.....5
    - 3.3.3 Facilities and Equipment.....6
    - 3.3.4 ORU’s accomplishments over the preceding six year period.....6
    - 3.3.5 Teaching and Learning.....6
    - 3.3.6 Benchmarking.....7
    - 3.3.7 Financial Data.....7
    - 3.3.8 Six-year Goals.....7
    - 3.3.9 Review of ORU’s Director.....7
- 4. Charges.....7**
- 5. Review.....8**
- 6. Reports.....8**
- 7. Approximate Schedule.....8**
- Annex I.....9**

## **1. Purpose**

Periodic reviews and reports provide an opportunity for the AUC Center/Institute/Units (hereafter referred to as ORUs) Directors, Chairs, Deans, and the Office of the Vice Provost for Research to explore the ORU's challenges and needs, assess the effectiveness of the ORU's leadership, and with the benefit of external advice to make choices that will shape the ORU's long-range plans and evolution. Such reviews benefit from the different perspectives that are provided by reviewers. The goal of the review is to facilitate the formation of a shared vision for the ORU that will be used to direct its future development and operation.

University ORUs and their respective Directors are reviewed simultaneously for two reasons. First, the performance of the ORUs' directors cannot be entirely separated from the performance of the ORUs themselves. Second, combining the two reviews minimizes the administrative burden of the review process on both the ORUs and the Office of the Vice Provost for Research.

## **2. Timing**

Each ORU and its Director would be reviewed every six years. Deviations from this schedule may be necessary and will be determined on a case-by-case base by the Vice Provost for Research with input from the Director of the ORU and the concerned Chair, or the Dean. A midterm internal review of the director shall be conducted and will follow the same procedure for the review of the director.

Additionally, each ORU is required to present to the concerned Chair, Dean, or the Vice provost for research an annual report before July 15<sup>th</sup>.

## **3. Procedures**

### **3.1 Annual Reporting**

At the end of each academic year (before the 15<sup>th</sup> of July), every ORU is required to submit a report to the concerned Chair, Dean, or the Vice Provost for Research. Typically, the information required for the annual report should address the following points with any content variations approved by the Vice Provost for Research:

1. Information about ORU mission, activities, and accomplishments during the previous year
2. A plan for the ORU's development over the following year
3. The ORU's research plan over the following year
4. Names of students and postdoctoral researchers directly contributing to the ORU who: (a) are on supported by the Unit, (b) or participate - through assistantships, fellowships, outreach, traineeships, or are otherwise involved in the ORU's work
5. Names of faculty members involved in the ORU's research and other activities [training, outreach, etc...]
6. Extent of student and faculty participation from other universities
7. Numbers, titles, and FTE of professional, technical, administrative, and clerical personnel employed
8. List of publications issued during the previous year by the Unit, including books, journal articles, and reports, showing author, title, and publication source

9. Annual funding from all sources
10. Annual financial report which includes expenditures, distinguishing use of funds for administrative support, direct research, and other specified use
11. Description and amount of space currently occupied, if different from the previous year's report
12. Any other information deemed relevant to the evaluation of ORU's effectiveness, including updated six-year projections of plans and resource requirements where feasible

### **3.2 Selection of Review Team**

The review of the ORU and its Director will be conducted by a team of three reviewers, two of whom are external and one internal from AUC. One of the external international reviewers should have preferably held a position of Director of an analogous ORU at another University.

The ORU Director will suggest potential reviewers to the Office of the concerned Chair, Dean, or the Vice Provost for Research along with a brief rationale for their selection no later than the 1<sup>st</sup> of April of the year preceding the external review. The concerned Chair, Dean, or the Vice Provost for Research will select all members of the review team after receiving recommendations from the concerned Chair and Dean. The Vice Provost for Research may select from these lists without being limited to them.

The team will prepare a report to the concerned Chair, Dean, or the Vice Provost for Research reflecting their reviews, assessments and recommendations on the activities of the ORU and its Director.

### **3.3 Review Materials**

The review team will be provided with an ORU Self-Study and a Director Self-Assessment prior to the review. These documents should be completed and submitted to the concerned Chair, Dean, or the Vice Provost for Research no later than the 15<sup>th</sup> of August.

The Self-Study should be fewer than twenty pages in length and contains the following:

#### **3.3.1 Overview**

1. Brief description of the ORU main research focus that includes the date of inception, mission, history, and describes any changes that have occurred since the original scope of the Unit
2. Description of how the ORU aligns with the mission of the AUC
3. Analysis of the ORU's strengths, weaknesses, opportunities and threats

#### **3.3.2 ORU Organizational Structure and Space**

1. Description of the organizational structure (or provide organizational chart)
2. Number of AUC and non-AUC faculty members involved in ORU's research or administration

3. Number of students (graduates or undergraduates) and scientists involved from (a) AUC and (b) other institutions
4. ORU staff FTE: professional, technical, and administrative
5. Description of advisory committees, internal partners, and external partners
6. Description of current and planned grant support (move to financial data)
7. Description of resource challenges

### **3.3.3 Facilities and Equipment**

1. Description and size of space currently occupied, space challenges, and plans for expansion or a move to a new location
2. List of major equipment, equipment needs, and planned major equipment purchases

### **3.3.4 ORU's accomplishments over the preceding six year period**

1. Overview of the progress and quality of the research accomplished and in-progress, and highlights of major achievements
2. Overview of the impact of the ORU's research to the field and discipline and in a focus area at AUC
3. Evidence of public service and outreach and contribution at the national and the international level
4. Description of the ORU's contribution to fostering collaborative research at AUC and with other institutions
5. Partnerships created
6. List of major recognition awards received and/or fostered by the Unit
7. List of major publications or conference papers by faculty and students (include publications in progress)
8. Technology transfer information such as patents, licensing and/or IP disclosures
9. Evidence of national and/or international reputation
10. Other

### **3.3.5 Teaching and Learning**

1. Number of graduate students and postdoctoral fellows who are involved with the ORU
2. Funded FTE's of graduate students and/or post doctorate fellows
3. Description of how the ORU integrates research and education (facilitates classroom instruction, graduate research training and/or community outreach), and contributes to teaching and learning at AUC

4. List of Masters theses and doctoral dissertations (completed or in-progress) that benefited from ORU resources
5. List of doctoral dissertations (whenever applicable) (past or in-progress) that benefited from ORU resources

### **3.3.6 Benchmarking**

1. A brief description of the position of the ORU in comparison to other Units, whether national or international, and include any quantifiable information
2. If the ORU was subject to peer evaluation as part of a national/international competition, provide relative rankings or scores, if available

### **3.3.7 Financial Data**

1. Received funds and expenditure totals (including types of award)
2. Financial report for the previous six-years
3. Budget projections for upcoming three-years

### **3.3.8 Six-year Goals**

### **3.3.9 Review of ORU's Director**

The Director of the ORU will prepare a self-assessment report that will be reviewed by his/her direct supervisor.

The direct supervisor will use the self-assessment report, together with feedback stakeholders and people affiliated with the unit, to prepare the review. The review of the director and self-assessment report will be provided to the review team.

The Director of the ORU will prepare a self-assessment report that will include:

1. A complete and updated Curriculum Vitae
2. An updated position description prepared by the concerned Office of the Chair, Dean, or the Vice Provost for Research in consultation with the ORU's Director
3. A personal statement concerning the Director's vision for the ORU and his/her role in achieving that vision
4. Description of the Director's leadership and effectiveness
5. Description of the Director's strengths and weaknesses
6. Description of the Director's accomplishments
7. Description of the Director's goals for the following six years

The internal midterm review of the director shall follow the above-mentioned procedure with the exception that the review team will be all from AUC. The Midterm review will be conducted during the third year of director's term.

## **4. Charges**

The Office of the concerned Chair, Dean, or the Vice Provost for Research will provide the Self-Study and Self-Assessment documents to the external review team. In addition the concerned Chair, Dean, or

the Vice Provost for Research will provide the review team with specific charges to direct their reviews. The specific charges to the review teams will be flexible to reflect issues raised in the Self-Study as well as issues unique to each Unit. At a minimum, however, the charges will include:

- an assessment of the ORU's effectiveness in carrying out this mission over the preceding six year period
- an evaluation of the ORU's goals for the following six years
- an evaluation of the opportunities and threats that the ORU might face in the future
- an assessment of the effectiveness of the ORU Director in providing leadership to the Unit
- suggestions for changes that will enhance the ORU's international stature and competitiveness

## 5. Review

Review team members will visit campus during the Fall semester and typically spend one to two days on campus, during which time they will meet with the Vice Provost for Research, the ORU Director, students, faculty and staff affiliates of the unit, clients, and relevant Deans and Department Chairs. This schedule will be set up by the concerned Chair, Dean, or the Vice Provost for Research.

## 6. Reports

The review team will provide a written report of their findings and recommendations. The report should address topics related to their review of the ORU and the performance of the Director. The review team will provide its report to the concerned Chair, Dean, or the Vice Provost for Research within three weeks of their campus visit.

The report will be considered confidential and will not be provided to the ORU Director or other parties. The concerned Chair, Dean, or the Vice Provost for Research will communicate in writing to the Director of the ORU and the findings of the review team. The ORU Director will have the opportunity to discuss the review with the concerned Chair, Dean, or the Vice Provost for Research.

## 7. Approximate Schedule

- **February:** ORU Directors will be notified that a review will be conducted during the following academic year and the Director will be asked to provide names of potential external reviewers.
- **April 1:** ORU list of reviewers due at the concerned Chair, Dean, or the Vice Provost for Research
- **July 15:** Due date of the annual report
- **August 15:** Office of the concerned Chair, Dean, or the Vice Provost for Research finalizes review team membership; ORU Self-Study and Director Self-Assessment completed and forwarded to Office of the concerned Chair, Dean, or the Vice Provost for Research
- **September/October:** Review team visit
- **October/November:** Review team provides written report to the Office of the concerned Chair, Dean, or the Vice Provost for Research
- **November/December:** Discussion of the Director and ORU performance with the concerned Chair, Dean, or the Vice Provost for Research

## Annex I

### Definition of an Organized Research Unit (ORU)

*Based on a simple benchmarking exercise that evaluated how several US based institutions define and manage ORUs, we have developed definitions for the various terms used to identify ORUs that are established at the American University in Cairo (AUC).*

**Research Institute** – is a single or multi-disciplinary unit which is organized primarily to conduct research, but may also be actively involved in undergraduate and/or graduate education, or community outreach. Such entities are characterized by organizational stability, program autonomy, and a broad program of study. Typically, institute funding is derived from multiple sources rather than a single source (e.g., one grant). They are expected to have substantial external funding (in form of endowment fund and/or annual steady funding to cover annual salary of the director of the institute, two FTE faculty salary and four graduate fellowships), evidence of long-term sustainability, a dedicated administrative staff, commitments from faculty (FTEs), a program of research training, and a substantial infrastructure that may include organized fund-raising (advancement) activities. Faculty and research/teaching staff in institutes usually participates in interdisciplinary graduate/undergraduate programs. Directors of research institutes based within a single school/department typically report to the dean or chair, although the dean and/or chair may recommend an alternative reporting structure. Directors of interdisciplinary institutes in which multiple schools/colleges are substantively involved, and for which substantial central resources (matching central funds) are committed, may have a dual line of reporting; for example, to the Vice Provost for research and (an) appropriate dean(s).

**Research Center** - is a single or multi-disciplinary unit, organized to conduct research around a specific theme or topic, and may have some limited involvement in undergraduate and/or graduate education and/or community outreach activities. Centers are characterized by less autonomy and less independence relative to institutes, and generally have a narrower scope of research interests, but may also include educational and/or community outreach activities of a narrow scope. Centers are typically focused on a specific issue, project, or policy concern but often encompass interdisciplinary work spanning various academic fields. They are expected to have good external funding (in form of endowment fund and/or annual steady funding to cover the annual salary of the director of the center, one FTE faculty salary and two graduate fellowships), a dedicated administrative staff, commitments from faculty (FTEs) and a program of research training. The center's lifetime is often limited by the time and financial commitment to completing the particular project/s. Centers are typically located within departments, institutes, and/or schools/colleges. Center directors typically report to chairs, deans and/or institute directors, but deans and/or chairs may recommend an alternative reporting structure, such as a 'liaison committee' or advisory board (if required by the sponsor), consisting of multiple chairs or directors from participating departments or divisions. Directors of interdisciplinary centers in which multiple schools are involved generally report to the dean of the school in which the center director has his/her primary appointment.

**Other terms:** The leader of an ORU may also choose other generic names, such as "laboratory," or "unit," to describe the ORU, as long as a justification as to why it should not be designated as a center or institute is provided at the time of naming. Units for which research is NOT the primary purpose are not obligated to follow these guidelines, but should not include the term 'research' in the title or primary mission statement. Non-research centers or institutes should seek approval and guidance from the deans and the provost.