



*The American University in Cairo
Research Advisory Council*

Draft for Discussion

Strengthening Research at AUC

Report of the Research Advisory Council

May 2002

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Executive Summary

Research and creative endeavors represent an important commitment of The American University in Cairo, which is reflected in its statement of mission: *“the university seeks to maintain a highly qualified faculty. Emphasis is placed on excellence in teaching as well as on research, creative work and faculty members’ intellectual contributions to their disciplines.”* Consequently, the University expects faculty to be involved in research and considers it as an important factor in promotion and tenure decisions. However, the importance of research is not only linked to promotion and tenure, faculty derive self-satisfaction from research, find it necessary for their credibility and being ahead in their field in addition to promoting their academic career. The research effort provides intellectual resources and contributes an intellectual rigor and discipline all of which impacts on instruction. Both teaching and research activities interact to strengthen each other rather than merely competing for faculty time. Research is also an important part of the services provided by the University to society.

At present, most of the funds to support faculty research come from allocations from the university budget and the external funding of research is mainly received by the SRC and DDC. A study by the Research Advisory Council in 1997 shows that although faculty spend sizable fractions of their time in research, the majority were not satisfied with their research efforts and feel that the research environment in other institutions – mainly in the US - is better than that at AUC.

This report builds on the recommendations made by the Research Advisory Council in 2000-2001 and recommends ways of putting some of them into effect. The recommendations are organized in four groups as follows:

- a. Recognizing the value of research.
- b. Maximizing the effectiveness of faculty and financial resources in research.
- c. Creating additional incentives for faculty and departments to encourage research.
- d. Strengthening the infrastructure to support research.

The following ten recommendations highlight the main thrust of the report:

1. Tie salary and annual increases to performance and improve the annual review process by giving faculty members written assessment of their research activities.
2. Enhance faculty recruitment and hiring and establish clear departmental and school standards for renewal of contracts, promotion, and tenure with respect to expectations in research.
3. Give more visibility for research and publish annually a list of faculty publications.
4. Support inter-disciplinary and multi-disciplinary research projects within AUC as well as collaborative research between AUC faculty and others from Egypt and abroad.
5. Identify areas of research where AUC has a comparative advantage, build centers of excellence and encourage faculty to work in these areas. Create leadership teams in these foci and work with the leadership team to raise external funding for their programs.
6. Actively assist faculty and graduate students in developing proposal-writing & publishing skills.
7. Improve the incentives for faculty to do research and review the guidelines for release time in order to give the faculty additional opportunities to devote more time for research.
8. Review the current post award policies and accounting procedures for externally funded grants.
9. Facilitate the process of obtaining permits to collect data for research.
10. Employ state-of-the-art technology and enhance the library holdings in support of research.
11. Canvas the opinion of faculty on how they view their research effort at AUC.

Strengthening of research at AUC is an ongoing process. The Research Advisory Council intends to continue its discussions of this document next year and welcomes suggestions for improvement.

Strengthening Research at AUC

I. Introduction

Whether part of an externally funded project, the fruit of individual faculty effort, or part of the teaching program, research represents an important commitment of The American University in Cairo, which is reflected in its statement of mission: *“the university seeks to maintain a highly qualified faculty. Emphasis is placed on excellence in teaching as well as on research, creative work and faculty members’ intellectual contributions to their disciplines.”*

The University expects faculty to be involved in research and considers it as an important factor in promotion and tenure decisions. According to the PPP document: *because the evaluation of research record or the record of creative endeavor is central to any consideration of promotion to a higher rank, the need for external evaluation becomes paramount. The research record is evidenced by books and articles, published either individually or in cooperation with others, or, in the arts, the record of creative endeavor.* However, the importance of research is not only linked to promotion and tenure. According to the study by the Research Advisory Council in 1997, faculty derive self-satisfaction from research, find it necessary for their credibility and being ahead in their field in addition to promoting their academic career. The availability of research opportunities at AUC is also important in recruiting and retaining excellent faculty and there is evidence that some highly desirable candidates were unwilling to accept a position that does not have good prospects for carrying out research.

AUC faculty who are involved in research believe that such involvement makes them better teachers. The research effort provides intellectual resources and contributes an intellectual rigor and discipline all of which impacts on instruction. Both teaching and research activities interact to strengthen each other rather than merely competing for faculty time. Since liberal education requires instructional approaches that stimulate questioning, analysis and synthesis by our students we will inevitably find that the best teachers are those who practice those traits in ongoing scholarly and research activities and can transmit that ongoing involvement to their students on a daily basis.

In graduate studies, the University has a clear obligation to provide a supportive and active climate of research as a critical part of the educational foundation for various Masters-level programs. In several of our current programs there is a clear need to upgrade the quality of the research experience and guidance available to our Masters students if we are to reach the quality levels to which we aspire.

Research is also an important part of our service and contribution to the growth and development of Egypt. The research output of the faculty and students serves Egypt, the Middle East, and helps sustain and strengthen the understanding between the US and Egypt.

In order to promote faculty research in the academic departments, the University allocated about \$377,000 in 2001-2002 to finance conference grants, research grants, research development grants and mini grants (the corresponding figure for 2000-2001 was \$375,000). In addition, faculty of professorial rank may apply for a full-year or one-semester sabbatical leave every seven years to undertake research and writing and to interact with faculty and participate in programs in other institutions. In spite of the efforts to encourage faculty to seek external funding for their research, the AUC Profile shows that the expenditure on research has decreased from 3.9% of the total university expenditures in 2000-01 to 3.6% in 2001-2002. About 90% of external funding for research goes to the two main research centers, SRC and DDC, with very small amounts being received by faculty in the academic departments.

According to the Research Advisory Council’s study in 1997, faculty invest a sizable fraction of their time in research, with more than 22% devoting more than 40% of their time to research and an additional 20% devoting between 20% and 40% of their time to research. In spite of this sizable

investment of time, about 77% of the faculty were not satisfied with their research efforts at AUC and feel that the research environment in other institutions – mainly in the US - is better than that at AUC.

A central issue in strengthening research at AUC is the creation of an environment conducive to conducting research and a research ethos where research is visible and valued as one of the important academic activities at AUC. To improve the research environment at AUC the perceived value-price relationship needs to be improved. Ideas for change are often not accepted because the people concerned feel that the value they will receive from the change is not worth the price that must be paid. Thus, to change the environment we must reduce the price and/or increase the perceived value. The value of research is represented by the faculty members' self-concept and recognition by peers and superiors. The price of research can be represented by the non-productive time and effort spent when doing research and can be reduced by improving the communications between researchers and increasing the efficiency of the support infrastructure.

This report builds on the recommendations made by the Research Advisory Council in 2000-2001 and recommends ways of putting some of them into effect. The recommendations are organized in the following four groups:

- ∄ Recognizing the value of research.
- ∄ Maximizing the effectiveness of faculty and financial resources in research.
- ∄ Creating additional incentives for faculty and departments to encourage research.
- ∄ Strengthening the infrastructure to support research.

The Research Advisory Council intends to continue its discussions next year on how to strengthen research at AUC and welcomes suggestions to improve this document.

II. Recognizing the Value of Research

Part of changing the cultural values of the organization relates to how people perceive themselves. The following activities may impact faculty beliefs that being an active researcher is important to one's concept of self.

1. Improve the Annual Review Process and Introduce a Merit Pay Plan

- a. Improve the annual review process. While faculty are now required to complete an annual report, there is no campus-wide written feedback that provides the faculty member with the department chair's and dean's assessment of their research activities, see Appendix 1.
- b. Recognize the achievements in teaching, research, and service through a merit pay plan, see appendix 2.

2. Increase Recognition by Peers, Superiors, and Others

- a. Develop research symposia or brown bag luncheons within units or campus wide where faculty discuss ongoing research projects.
- b. The deans should ask each department chair to organize a research symposium once a year and report to the dean. Faculty who have received conference/research grants should be especially encouraged to present their activities at such symposia. The dean should report to the Vice Provost on these activities.
- c. The deans should provide the Vice Provost Office with a list and a brief description of all faculty publications indicating whether in a refereed journal or other outlet. This information would be placed on the AUC website. If budget allows, the Vice Provost Office may wish to publish an annual

list of statistics and faculty publications.

- d. Publish a searchable expert's list of faculty members and their area of expertise on the AUC web site and update annually. The list will enhance the visibility of faculty and their work to people inside and outside AUC. It may also make faculty aware of the work done by other faculty. This may increase collaboration among people from different departments and may create opportunities for interdisciplinary research.

3. Give More Visibility to the Outcomes of Research

- a. As part of their annual and long-term plans, departments should set quantitative goals for increase in productivity, e.g., have 80% of full-time faculty publish one journal article every 3 years or 3 articles every 5 years or whatever is appropriate for that department.
- b. Develop a procedure where information on what is being done is widely shared. For example, research and conference grants and externally funded projects approved could be published on the AUC website. Overseeing of this would be handled by the Vice Provost's office.
- c. In collaboration with the deans and department chairs, the Vice Provost should develop a university working paper series, the titles of which would be available on the AUC web site listed by department. In addition, if faculty give their approval, an entire working paper could be downloaded from the site.
- d. ACS should develop a program to encourage faculty to create and periodically update their own personal web page. The web page can include items such as a list of published work, a list of work in progress and downloadable files containing articles, technical reports, and/or computer programs. This will increase the visibility of the faculty member and promote his/her work to the global research community. The university should subscribe to the Community of Science (COS) Expertise, which is a web network comprised of detailed professional information for nearly 460,000 scientists and scholars worldwide (<http://expertise.cos.com/>). ACS can provide support to faculty in establishing their web pages.
- e. Sponsor an annual campus-wide student (undergraduate and graduate) research symposium, in which work can be presented as posters. The faculty would be invited to attend the symposium and talk to students who are presenting. A faculty group could evaluate these presentations and award the students with the best work in the areas of humanities, social sciences, science, and engineering. Students receive monetary awards up to \$100. See, for example, the Student Research Symposium at Westmont College (<http://physics.westmont.edu/symposium>).

III. Maximizing the Effectiveness of Faculty and Financial Resources in Research

The research agenda at AUC cannot cover all possible fields. Neither funding, nor physical facilities nor staffing patterns will permit this. Given the limited size of many of our departments, one way of ensuring a critical mass of interested faculty and research students can be achieved by encouraging interdisciplinary work. It is appropriate for the University to pool its resources in areas in which we have comparative advantage and in which can maintain excellence. Examples include, but not limited to, particular dimensions of the social sciences, environmental studies, gender and women studies, and public health. The following strategies and mechanisms are recommended in order to maximize the effectiveness of our faculty and financial resources:

A. Building Partnerships for Research

1. Encourage inter-disciplinary and multi-disciplinary collaborative research projects within AUC.
 - a. Set aside AUC funds for inter-disciplinary and multi-disciplinary research projects within AUC.
 - b. Set aside seed funds for new inter-disciplinary and multi-disciplinary research projects.
 - c. Support inter-disciplinary and multi-disciplinary graduate courses and seminars through allocation of research funds which may be attached to those courses/seminars to as a means to encourage faculty and graduate students to do collaborative research.
 - d. Encourage AUC research center/institutes to set aside funds, or raise funds, for inter-disciplinary and multi-disciplinary research.
2. Encourage collaborative research between faculty from AUC and faculty from abroad and/or the national universities and research centers, industry and the business community.
 - a. Target "development" or "seed" money funds for collaborative research between AUC and non-AUC faculty. The non-AUC faculty would be required to raise complementary funds from their universities.
 - b. Explore Fulbright, Mellon and other external sources of funding which target First World, Third World collaborative research.
3. Encourage joint conferences and seminars with national universities and research centers.
 - a. Target funds for joint conferences and seminars, with the proviso that the partner institutions co-fund.
 - b. Invite scholars from national universities to participate in AUC conferences.
 - c. Offer Research Associate-ships to scholars at national universities.
4. Arrange periodic extended RAC meetings to which representatives from other institutions and major funding agencies are invited.

B. Emphasize Comparative Advantages of AUC Research and Obtain Focus

1. Identify areas of research where AUC has a comparative advantage, build centers of excellence and encourage faculty to work in these areas. Create leadership teams in these foci and work with the leadership team to raise external funding for their programs, see an example of an interdisciplinary working group in Appendix 3.
2. Select DVP's with research in mind, especially those which emphasis AUC's comparative advantage, see Appendix 4.
 - a. Request DVP's to address questions of research agendas, research approaches, in one of their public lectures.
 - b. Suggest that DVP provide faculty-only seminars to those closely related to their fields to work on research proposals, programs, problems, etc.
3. Create a significant number of endowed chairs and professorships as a means for recruiting faculty with outstanding research and teaching records.
 - a. Work with leadership teams of targeted foci of AUC's comparative advantage to raise external funding for endowments.
 - b. Agree on a goal of a certain number of new endowed chairs per year.

4. Develop a mechanism for encouraging students - graduate and undergraduate - to get involved in research projects conducted by faculty and AUC research centers. An example is a summer research program with some incentives for students.
5. Develop an undergraduate excellence program where undergraduate students are competitively selected to be “marketing/political science/engineering/etc. scholars. These students would be assigned to work with faculty.

C. Pooling Resources for Research

1. Encourage departments to think of themselves as research entities.
 - a. Departments should hold discussions about possible departmental foci of research and encourage faculty to partner with graduate students on agreed upon foci of research.
 - b. Departments may apply as a research entity for internal and external grants to carry out research.
2. Strengthen collaboration between academic departments and research centers, see Appendix 5.
 - a. Develop mechanisms for joint appointments of faculty in teaching and research positions linked with AUC academic departments and research centers.
 - b. AUC Research Centers to raise funds to offer on a rotating basis, a number of semester-long or year long research appointments for faculty with buy-out to the departments for faculty replacement.
 - c. Encourage faculty to apply for external research grants, which could be housed at AUC research centers and carried out collaboratively with them.
 - d. Encourage AUC research centers to include AUC faculty and graduate students on their external research grant applications.

D. Targeted Support for AUC Research/ Researchers

1. Encourage faculty with potential for research and provide them with additional incentives.
 - a. Explore appropriate incentives for faculty who receive external grants and those who apply for large externally reviewed grants, even if they are rejected.
 - b. Offer course release for faculty who receive externally funded grants of a certain magnitude.
 - c. Offer additional support for faculty who include other faculty or graduate students on their externally funded grants.

E. Training for Research

1. Create stronger links between faculty research and graduate programs by employing graduate students as research assistants whenever possible and including funds for graduate student support in the budgets of externally funded projects.
2. Develop mechanisms for encouraging students [graduate and undergraduate] to get involved in research projects conducted by faculty and AUC research centers.
3. Organize annual faculty proposal writing workshops.
4. Organize annual graduate student proposal writing workshops.
5. Organize seminars in which faculty share their research plans, on-going research, or research results with colleagues and students in the same field.

6. Provide workshops for faculty on “how to get published.”
7. Actively assist faculty and graduate students in developing proposal-writing and research skills by organizing annual workshops. Encourage academic departments to contribute to the content of these workshops by specifying the needs of their faculty members in the areas of research and grant writing.
8. Enhance the help given to faculty in locating possible sources of external funding and provide information on external funding opportunities with special emphasis on areas consistent with the needs and strategic goals of the university.

IV. Creating Additional Incentives for Faculty and Departments to Encourage Research

In spite of the attempts to create an environment that encourages faculty to carry out research, there is evidence that more needs to be done. We also need to introduce incentives for departments so that they encourage their faculty to be involved in research. The following initiatives are recommended in order to provide additional incentives for faculty and departments.

1. Incentives for Faculty

- a. Reward faculty on the basis of excellent research and publication record, see Appendix 6 for the Excellence in Research Award.
- b. Allow faculty to use AUC research grants, as well as external grants, to buy out of a class. Furthermore, we suggest the same use of research grants for the summer. That is, that research grants be given to faculty members who stay at AUC to conduct research during the summer teaching period. The grant would be equal, in this case, to payment for teaching one class. The advantage of these “buy-out” grants is that they do not require any new funds.
- c. Establish guidelines for limiting administrative responsibilities for junior faculty. At AUC the teaching load is three courses per semester. In addition to these duties, faculty are also expected to serve on committees and to teach overloads when asked. Such administrative responsibilities reduce the time available for research. Explicit guidelines should be established to limit the number of administrative responsibilities taken on by untenured, junior faculty. Also, junior faculty should not be asked to take an overload, unless they specifically request an overload.
- d. Assist faculty in hiring research assistants (possibly a post-doc from one of the Egyptian national universities), especially in departments that do not offer a graduate program. This may be written into grant proposals or applied for separately (in some cases, the research assistant is the only budgetary requirement). At the moment, we are in need of qualified graduate assistants to assist faculty with research. While some faculty members are assigned graduate assistants from the department, often faculty needs outweigh the students’ time allotment. This issue can be addressed by giving faculty members the option of hiring assistants from outside the university. The following steps are recommended:
 - i. Develop a university-wide recruitment system for graduate assistants, advertising at the national universities.
 - ii. All faculty members in need of an assistant will place their notice through the office or person in charge of this recruitment.
 - iii. Salaries will not be fixed or paid by AUC, they will be paid through internally or externally funded grants. The research assistant budget and the skills required will determine the hourly salary offered.

- e. Encourage faculty to write and submit proposals for external grants by:
 - i. Providing additional allocations of University funds to the faculty and the department.
 - ii. Making the potential for financial reward for externally funded grants at least as great as for teaching overload, while still allowing release time during the regular academic year.
 - iii. Acknowledging the efforts of faculty who apply for large externally reviewed grants, even if they are rejected.
 - iv. Offering additional support for faculty who include other faculty or graduate students on their externally funded grants.
 - v. Taking research proposals that have been submitted to funding agencies and the research funds that have been received from AUC and external funding agencies into consideration when making decisions on merit evaluation, contract renewal, promotion and tenure.
 - vi. Allowing faculty to receive release time or overload payment when writing major proposals for external funding if high prospects of funding can be demonstrated.
- f. Create a Distinguished Professor rank, see Appendix 7.

2. Incentives for Departments

- a. Enhance faculty recruitment and hiring by increasing the quality of the applicant pool, putting higher weight on potential for doing research at AUC and informing new faculty about the University expectations in research, see Appendix 8.
- b. Request that every department submit a clear statement of the minimum expectations for renewal of contract (first and second time), promotion, and tenure. This should include some idea of the number of publications needed, how conference papers weigh in, and other non-teaching as well as teaching-related criteria.
- c. Identify inconsistencies across and within departments. Streamline these departmental expectations and distribute to all faculty members.
- d. With externally funded grants involving release time, allow departments to have access to the difference between the money received by the university to buy out courses and the money used to hire a replacement.
- e. Encourage departments to develop mission statements that outline their expectations in research. The statement should also be sent with the initial contract to every newly hired faculty in the department.
- f. Take the number research proposals that have been submitted and the research funds that have been received from AUC and external funding agencies into consideration in academic program review and in assessing the achievements of the department chair.
- g. Encourage faculty to include funds for research assistants, which will be used to hire and/or pay some of the tuition fees for graduate and undergraduate students from the department.

V. Strengthening the Infrastructure to Support Research

The AUC infrastructure can be improved in several ways to support research. Identifying points where there is potential for improvement often involves giving special consideration to our unique situation as an American university in Egypt, with its special obstacles and special resources. The following strategies for strengthening the infrastructure to support research are recommended:

1. Enhance Administrative Procedure

- a. Review the current post award policies and procedures with a view to clarify and streamline them. Faculty who receive externally funded grants have found difficulties with the current complicated, sometimes unclear, financial procedure.
- b. Simplify the accounting procedures for external grants and improve support services for faculty members who have received externally funded research grants. Faculty members should be encouraged to seek assistance from the OSP Office and the Controller's Office.
- c. Facilitate the process of obtaining CAPMAS permits to collect data for research, where required.

2. Use Technology to Support Research

- a. Expand and integrate state-of-the-art technology and telecommunications in support of faculty research and scholarly activities.
- b. Provide necessary resources to ensure adequate communication and information transfer.
- c. Develop better equipment replacement policies, and fund appropriate maintenance for equipment to assure adequate support for research.
- d. Establish a good voicemail system and video conferencing to enhance communication on campus, in Egypt and worldwide.

3. Enhance Libraries and Learning Technology in support of research

- a. Build collections and expand electronic access to information.
- b. Provide backup processes for the speedy delivery of journal articles.
- c. Provide faculty research office space in the Library with the necessary equipment for viewing microforms, photocopying, PC use, and quiet periodical reading.
- d. Provide library faculty specialist positions related to subject areas to serve as a resource for faculty library information research.
- e. Provide appropriate software for automated bibliographic citation (EndNote, Procite), statistical packages, etc.

Appendix 1

Faculty Assessment

Improve the annual review process. While faculty are now required to complete an annual report, there is no campus-wide system for written feedback that provides the faculty member with the department chair's and dean's assessment of their research activities.

The Department Chair should hold an annual meeting, towards the end of the academic year, with each faculty member in the department. In this meeting the faculty member reviews his/her teaching, research, and service activities during the year as outlined in the faculty member's annual report. The Dean and the Chair will then have the opportunity of pointing out strong and weak points of the candidate and can suggest possible remedies. The faculty member will shortly thereafter be sent a letter summarizing views expressed in the meeting. The faculty member can respond, if he/she chooses. The letter and the response, if any, will be kept in the faculty member's record and shall be made available to relevant parties at the time when the faculty member is up for renewal, promotion, and/or tenure.

Appendix 2

Annual Salary Increases - A Merit Pay Increase Plan

This proposal was initially prepared by Drs. Ali Hadi and Elnora Stuart and then adopted by the Research Advisory Council with slight modifications.

1. Preamble:

As the university continues the process of self-evaluation and continuous improvement for total quality, it must replace the current faculty pay increase practice that provides across-the-board raises to all faculty equally, without consideration of individual quality of performance. The current policy is not only inherently unfair, but it is inconsistent with sound managerial principles such as total quality management (TQM).

We recommend reengineering of the university's reward and pay system. In particular, we recommend that current practice of equal percentage annual salary increases for all faculty be replaced by a plan in which annual increases would be divided into a cost of living adjustment (COLA) portion and a merit pay portion. The merit pay increase portion would be based on the quality of teaching, research, and service as is done with tenure and promotion.

2. Pros and Cons:

In comparing this recommendation and the current practice there are several advantages and disadvantages.

1. The across-the-board increase is easy to implement. There is no need to collect any data of faculty performance, no judgments to be made, and administrators are freed from the possibility of having to deal with faculty who are upset.
2. The merit pay plan can be stressful as any change, even good ones, are stressful.
3. The merit pay plan may be met with resistance by administrators because it will create more work and stress for them.
4. Some may argue that the merit pay increase decisions involve some element of subjectivity. Indeed, such a plan would include somewhat subjective decisions. However, it must be recognized that most of the important decisions in academia – tenure promotion, grades on exams, review of articles submitted to a journal for consideration, and the evaluation of professors by students – are subjective. This should not be a reason for refusing to make changes that will enhance the university programs and that will adhere to principles TQM. Furthermore, subjective decision are not wrong if done in good faith. By providing a detailed procedure for the process, some of the subjectivity can be reduced if not completely removed (some specific recommendations are given below).
5. The across-the-board plan is inherently unfair because it gives the same reward to all faculty without consideration of their efforts or the quality of their performance. This is in sharp contrast with the principles of total quality management (TQM).
6. The merit pay plan provides some important advantages to the faculty and the university, which would seem self explanatory. By providing an important incentive to faculty for continuous improvement of quality,
 - ∉ the research productivity of the faculty as a whole would be increased,
 - ∉ the quality of classroom teaching would be improved, the most important benefit of all,

- ∉ the morale of the productive faculty would see improvement, and
- ∉ the overall image and quality of the programs of the university would be enhanced both in Cairo and in the global educational community.

7. The merit pay plan is inherently fair as we must distinguish between equality and equity. Most if not all good faculty see a merit pay plan as a more equitable plan. Even if there are problems with implementation of the plan, it will still be an improvement over the current plan that gives no reward for excellence and no penalty for poor quality for faculty after the tenure decision has been made.

8. The merit pay plan can effectively counter some of the disadvantages inherent in the tenure system. Even good faculty without incentives can over time become lax. All in academia worldwide are troubled by how to motivate faculty who, once tenured, cease to be contributing members of the university community.

3. Recommendations for Implementation of a Merit Pay Plan

1. The annual amount allocated for pay increase is divided into two portions: A portion (say 50 percent) is used as COLA, that is, it is distributed to all faculty equally. The remaining promotion should be considered as merit increase and should be distributed among faculty based on the individual faculty member's performance in teaching, research, and service.

2. To make the decision process less subjective, there may be a need to develop some type of point system that quantitatively represents quality within the categories of teaching, research, and service. For example, each faculty would be classified into one of three or four groups such as:

- (a) exceeding expectation,
- (b) meeting expectations, and
- (c) (c) meeting the minimum job requirements. It is this latter group who will receive only COLA. The merit pay portion of the budget will be distributed among the other categories in a decreasing scale.

3. The merit pay increase plan should be implemented through a process of evaluation of faculty and subsequent pay increase recommendations by the Provost in consultation with deans and department chairs. This would ensure that the different expectations of different schools are adequately addressed in the process. This would also ensure as much campus-wide equity in implementation of the plan as possible.

4. It is important that the total amount of money available for the merit-pay portion of the annual increase be distributed to individual faculty from a university-wide perspective rather than from a within department only perspective. This is importance in order to recognize differences among departments. For example, some department may have a number of excellent teachers and researchers while other departments may have only a few who would be considered as excellent.

5. A 50/50 split between merit and cost-of living pay increase proportions may be an appropriate way to begin. These proportions could be used for an initial trial period after which the percentage split would be revisited.

4. Summary and Conclusions:

Merit pay increase is a managerially sound system that is universally practiced by universities in the United States. Therefore, the question is not whether or not the university should adopt a merit pay increase system. The question is how to implement such a system. The above suggestions may be a step in that direction.

Appendix 3

Multidisciplinary Group on Water

A preliminary survey has shown that we now have several research and teaching activities that are related to water. These activities cover the range from social and management aspects to environmental, recycling and desalination. As part of our drive to encourage faculty research and to maximize the use of our resources, it is proposed to initiate multi-disciplinary working group on water. The tasks of this group include:

1. Gather information on the current research organizations and projects in the Ministry of Water Resources and Irrigation.
2. Gather information about water users associations and recent conference organized by the DDC.
3. Major funding agencies and the projects that they currently support in the area of water.
4. Possibility of offering a course, a panel discussion or a research project on the Nile valley.
5. A research project on demand management to cover some or all of the following: pricing policy, economics, improving efficiency of use and reducing waste, recycling, changing the crops to use less water, ecology and environment.
6. A research project on supply management (management of scarcity).
7. Possibility of providing services to the agricultural community (water analysis, etc.).
8. Possibility of issuing a newsletter on water.
9. Possibility of established a center of excellence in water research to serve Egypt and the region.

Further down the road, and if there is enough interest, we could have a center of excellence in this vital area for Egypt and the region.

List of Interested Faculty:

Dr. Salah Arafa, PHYS	(smarafa@aucegypt.edu)
Dr. Fadel Assabghy, Dean of the SCE	(assabghy@aucegypt.edu)
Dr. Abdellah Bazaraa, ENGR	(abzaraa@aucegypt.edu)
Dr. Donald Cole, SAPE	(dcole@aucegypt.edu)
Dr. Cary Dustin, BIOL	(c_ductin@aucegypt.edu)
Dr. Sharif Elmusa, Director MEST	(selmusa@aucegypt.edu)
Dr. Mahmoud Farag, Vice Provost – Chair.	(mmfarag@aucegypt.edu)
Dr. Steven Goode, Director of the OSP	(sgoode@aucegypt.edu)
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Dr. Richard Tutwiler, Director of the DDC	(tutwiler@aucegypt.edu)
Dr. Suzan Watts, SRC	(sjwatts@aucegypt.edu)

Appendix 4

Promoting Research through DVP Grants

PURPOSE:

To maximize the effectiveness of existing financial resources – in this case DVP grants – in promoting and enhancing research at AUC. The idea is to encourage departments to use the approximately \$5000 they apply for each year in new and creative ways that will promote departmental and university research in a meaningful fashion.

PROPOSAL:

The Research Advisory Council recommends that departments reconsider the criteria they use to nominate and choose DVPs – as well as the ways in which grant monies are spent. We are not suggesting that university-wide guidelines be established. It is understood that each discipline has its own needs and constraints. It is felt, however, that the traditional DVP formula, whereby a department invites a DVP to give two campus lectures, is only one of the ways that a DVP grant might be used effectively; and that if the promotion of departmental research is a principal aim, then there are many different ways in which these funds might be better employed. In essence, then, we are asking the administration to encourage departments to re-think their DVP policies and to give extra weight and consideration to requests for DVP funds that are explicitly and demonstrably connected to AUC's research goals.

SUGGESTIONS:

The following is a list of suggestions as to what might be done, but it is expected that individual departments will find other and more discipline-specific ways of achieving the same goals. The Research Advisory Council feels that, ideally, a DVP should be somebody who will enhance the research climate at AUC as opposed simply to presenting his or her own work.

1. A DVP might be brought in with the primary objective of lecturing to the faculty and grad students of a given department concerning ongoing research projects (as opposed to giving public lectures).
2. DVPs might work with individual members of a department on specific projects.
3. DVP visits could be tied to specific research initiatives. Jointly published articles, for example, might be a possible outcome.
4. The emphasis for selecting a DVP could be on new theoretical approaches as opposed to selecting DVPs based solely upon reputation. This might mean bringing in younger researchers with less obvious publication records but ones that are working in cutting-edge fields.
5. Tie DVP visits into research conferences and other departmental research initiatives. Perhaps this could include, for example, inviting someone who is distinguished in his or her field, but who is also an expert in grant writing, or one who edits a major journal or series where departmental members might be able to publish their work.
6. Try to tie choices as closely as possible to the sub-disciplines represented by various members of various departments and do this on a rotating basis so that everyone can bring in specialists in their own field.
7. Encourage departments to adopt these recommendations by giving any extra grant funds to those who are able to demonstrate that their DVP choices have resulted in one or more publications for members of the department or in obtaining external grants.
8. Combine DVP monies and invitations across two or more departments.
9. Adjust the time cycle for the administration of grants so that departments could use them in a more flexible fashion, for example, by inviting a DVP during the summer.

Appendix 5

Creating Stronger Links Between Research Centers and the Academic Programs

The Long Range Planning Subcommittee on assessment recommends the adoption of the following policies in order to strengthen the links between the research centers and academic departments:

- ∄ Allow faculty in the academic departments and research centers to combine teaching and research as part of their load. For example, 2/3 teaching and 1/3 research for academic faculty and 1/3 teaching and 2/3 research for research faculty, and return part of the overheads to the department or unit of the faculty member who receives an externally funded grant.
- ∄ Establish an advisory committee for each research center. The advisory committee should have strong academic faculty representation and make the links between the center and academic departments a priority on its agenda.
- ∄ Allow faculty from the research centers to have associate membership in the relevant department.
- ∄ Involve faculty from the research centers in teaching or co-teaching research methodology and appropriate elective courses.
- ∄ Encourage a collegial environment through which faculty from research centers and academic departments meet and discuss issues of common academic interests.
- ∄ Include the issue of close links with academic departments as one of the criteria of assessment when reviewing research centers and academic departments.
- ∄ Employ undergraduate and graduate students as research assistants and/or interns whenever possible, include funds for graduate student support in the budgets of externally funded projects. Such employment can be during the regular academic year or during the summer.
- ∄ Encourage AUC research centers to raise funds to offer on a rotating basis, a number of semester-long or year long research appointments for faculty with buy-out to the departments for faculty replacement.
- ∄ Encourage faculty to apply for external research grants which could be housed at AUC research centers and carried out collaboratively with them.
- ∄ Encourage faculty to emphasize areas in their current research agendas that overlap with the research that is being done, or could potentially be done, in one of the university's existing research centers. Encourage faculty to work together with existing research centers whenever feasible.

Appendix 6

Excellence in Research Award

PURPOSE:

The Excellence in Research Award is established in order to recognize and promote excellent research and creative endeavors of full-time faculty. It is a testament to the contribution of scholarship to the academic life of the University. The award is offered once annually during the February graduate commencement. The first award is planned for February 2003.

SELECTION CRITERIA:

The Excellence in Research Award recognizes the faculty member's scholarly achievements. Major weight will be given to the work published, presented, performed, or exhibited while in the service of AUC within the last three years. Additional supporting documents may include the nominee's C.V., a statement of the nature and importance of the work submitted for the award, available reviews, and other relevant supporting documents. The nominee's department and/or school may also provide additional information to help the selection committee in its deliberations.

NOMINATION:

Faculty members may apply for the award or may be nominated by a colleague, dept. chair or dean.

Nominations and supporting documentation are due by the beginning of October 2002.

Documents needed by the selection committee: a) Letter of nomination; b) Copy of the work submitted for the award; c) Curriculum Vitae, including list of special honors, awards, and research grants received by the nominee; d) A statement of the nature and importance of the work submitted for the award; e) Additional information and any other supporting documents, such as reviews and letters of recommendation, that can be used as ranking criteria for publications. Presentations should be identified as invited, national or international; f) The selection committee will ask the department and/or school for the names of referees external to the university if appropriate.

SELECTION COMMITTEE:

A group of 9 senior faculty members representing the major disciplines at the university ranks the nominees and recommends the recipient to the Provost and President. The committee members are nominated by their deans. The committee will draw up comprehensive procedures, time frame for submitted publications, and standards to regulate the different aspects of the selection process. The Vice Provost administers the selection process.

ELIGIBILITY:

All full-time faculty are eligible for nomination. Once nominated, the nominee may remain eligible for consideration for two additional years, if still a member of the AUC faculty. The supporting documentation may be updated during this period.

THE AWARD:

A commemorative plaque and a grant of \$3,000 to be used in any manner to support the recipient's scholarly activities. The announcement and presentation of the award is made during the February 2003 graduate commencement. The recipient will give a public lecture about the work leading to the award during the Spring 2003 Semester.

Appendix 7

Distinguished Professor Rank

To give incentives to senior faculty to conduct research, AUC should establish the “Distinguished Professor” rank. What is envisaged here is a permanent title to be given to a professor with an excellent research record. These awards are university-wide but are not annual. A professor can either apply, or preferably be nominated, for the award at any time. The standards and procedures for these awards should be created. But it should be realized that the standards here are higher than those for the annual excellence in research awards described above. It should be noted that this is different from the Distinguished Visiting Professor program that is currently operational at AUC.

Appendix 8

Recruiting and Hiring Decisions

Recruiting and hiring decisions can greatly affect the quality of faculty and its research productivity at any university. The University should spare no effort to:

- (d) increase the quality of the applicant pool
- (e) increase the quality of the hired faculty.

The first objective can be achieved, for example, by making sure that announcements of the availability of faculty positions are read by the right audience. For example, *Chronicle of Higher Education* may not be the best place to advertise for a given position. For some areas it may be better to advertise in professional society's bulletin, newsletter and list serve. The second objective is achieved by offering jobs to those people who have high potential of research (junior faculty at the assistant professor' level) or have a demonstrated record of research and still are active researchers (senior faculty at the associate or full professor levels). Checks and balances should be made among the roles of the relevant Department, Dean, and Provost in these recruitment and hiring decisions.

At the hiring stage, faculty members should be informed in writing of what is expected from them if they accept a faculty position at AUC. Therefore, a Personnel Policies and Procedures (PPP) document should be sent with the initial contract to every newly hired faculty. It should be stated clearly in the PPP document that teaching, research, and professional services are important responsibilities of all faculty at AUC. To be renewed, promoted, or granted tenure, the faculty must meet or exceed certain standards in all three areas. The standards for renewal, promotion, and tenure may differ from one area of specialty or department to another, but in all cases the expectations, the standards, and the procedures for assessing these standards should be clearly stated in the PPP document. This PPP document may be put on AUC Web page so that prospective faculty can read it at the time they are considering employment at AUC.