

Centers & Institutes - Policy & Procedures

1.0 Purpose

- 1.1 This policy outlines the establishment, operation, and oversight of centers and institutes at AUIB.
- 1.2 The policy provides a framework for the creation, management, and dissolution of these AUIB centers and institutes to ensure alignment with the university's mission, strategic goals, and ethical standards.

2.0 Scope

- 2.1 This policy applies to all centers and institutes established within AUIB, regardless of their source of funding, operational structure, or academic discipline.
- 2.2 It encompasses both interdisciplinary and discipline-specific entities that contribute to research, education, public engagement, and other mission-related activities.

3.0 Definitions

- 3.1 Center - a center is an organizational unit within the university/college that focuses on specific research, academic, or outreach activities, often spanning multiple disciplines and specific. It may engage in collaborative research, host conferences, offer training programs, and contribute to knowledge dissemination.
- 3.2 Institute - an institute is a specialized entity within the university, typically dedicated to in-depth research, advanced education, and innovation in a specific field. Institutes may have distinct facilities, faculty, and funding sources, and often collaborate with external partners.

4.0 Policy

- 4.1 Encourage centers and institutes to foster collaboration across academic disciplines and departments. By promoting cross-disciplinary interactions, these entities should facilitate the exchange of ideas, methodologies, and perspectives, leading to innovative solutions to complex challenges. The establishment of a center or institute requires submission a proposal to the President and Vice President of Research (VPR). Centers and institutes should continuously update for excellence by adapting to emerging trends, research directions, and societal needs.
 - 4.1.1 A detailed proposal must be submitted, outlining the center's or institute's purpose, objectives, budget, organizational structure, anticipated outcomes, and plans for sustainability.
 - 4.1.2 The proposal should demonstrate how the center or institute aligns with the university's strategic plan.
 - 4.1.3 The establishment requires approval from the Board of Trustees.

- 4.1.4 Formal approval is sought from the Ministry of Higher Education and Scientific Research per the Ministry's relevant policy and procedures after Board of Trustees approval.
- 4.2 Each center and institute must operate under a transparent governance structure that defines mission, roles, responsibilities, and reporting mechanisms.
- 4.3 The centers and institutes' governance shall encourage the active participation of faculty, researchers, staff, and, where applicable, external partners. Open channels of communication shall facilitate the exchange of ideas, expertise, and diverse perspectives to drive the center's initiatives.
- 4.4 Each center and institute will have an advisory board composed of faculty members, stakeholders from relevant departments, and external experts, who shall provide strategic guidance and oversight. The board's role will include reviewing the center's initiatives, assessing progress, and offering insights for continuous improvement.
- 4.5 Mechanisms for conflict resolution shall be established to address disagreements or challenges that may arise within the center's governance. These mechanisms will provide a structured process for resolving disputes while maintaining the center's productivity and positive atmosphere.
- 4.6 The center shall develop succession plans for key leadership positions, ensuring a seamless transition of responsibilities and maintaining continuity in operations, strategic planning, and relationships with external partners.
- 4.7 Each center or institute must have a designated director responsible for its management, coordination, and administration.
 - 4.7.1 Faculty members involved in the leadership of a center or institute would be eligible for teaching load reduction, subject to the approval of the Vice President of Academic Affairs (VPAA), the VPR, and the respective Dean.
 - 4.7.2 The director will collaborate with relevant academic departments and administrative units to ensure alignment with university policies and procedures.
 - 4.7.3 The director will provide regular updates to university leadership on the center's or institute's activities, achievements, and challenges.
- 4.8 Centers and institutes may receive funding from various sources, including internal university funds, external grants, donations, and partnerships. The director will collaborate with relevant academic departments and administrative units to ensure alignment with university policies and procedures.
 - 4.8.1 Adequate resources, both financial and logistical, will be provided to support the center's or institute's operations, ensuring its effectiveness and sustainability.

4.9 Regular reviews of centers and institutes will be conducted to evaluate their alignment with university goals and their contribution to research, education, and engagement.

4.9.1 Assessment criteria may include research output, academic impact, community engagement, and financial sustainability.

4.9.2 Based on assessment outcomes, adjustments may be made to the center's or institute's goals, funding, or structure.

4.10 In cases where a center or institute no longer aligns with the university's strategic direction, lacks sustainability, or fails to fulfill its intended purpose, a formal process for dissolution will be initiated.

4.10.1 The decision to dissolve a center or institute will involve the respective advisory board, which will recommend the dissolution to the appropriate Dean or Director. entity. The VPR will officially recommend the dissolution to the President and Board of Trustees for final approval, and steps. This recommendation will then be reported to the VPR. The VPR will formally propose the dissolution to the President and Board of Trustees for final approval. Efforts will be made to minimize any adverse impacts on faculty, staff, and ongoing projects.

4.11 Compliance with the centers and institutes' policies is mandatory for all faculty, staff, and stakeholders involved in the establishment, operation, and oversight of centers and institutes at AUIB.

4.11.1 Failure to adhere to this policy may result in corrective actions, including funding reassessment, operational review, or the initiation of dissolution procedures, as considered necessary by university authorities.

4.12 The naming of centers and institutes within AUIB shall adhere to the Use of University Name and Trademark Policy and additional guidelines that reflect the university's reputation, values, and academic standing as outlined in this policy.

4.12.1 Naming proposals must demonstrate alignment with the institution's mission and ethical considerations and receive endorsement from the University Council.

4.13 Allocation of physical space for centers and institutes will be based on specific needs, availability of university facilities, and alignment with space allocation guidelines.

4.14 Centers and institutes are required to develop and submit annual budget proposals outlining expenses, funding sources, and financial needs, which will be reviewed and approved by the VPR and the President.

5.0 Procedures

5.1 The Board of Trustees holds the authority to approve and oversee the modification and dissolution of centers and institutes.

- 5.2 The VPR is responsible for overseeing the centers and institutes, including but not limited to appointing directors, reviewing and submitting budgets, and ensuring adherence to the policies and procedures.
- 5.3 Directors lead the respective center or institute, overseeing its administration, strategic planning, and coordination.
- 5.4 The director of the center/institute is responsible for the composition of the advisory board. The advisory board members are responsible for providing strategic guidance, overseeing activities, and ensuring effective implementation of the mission and objectives.
- 5.5 The academics within the AUIB community who are interested in establishing a center or institute should prepare a detailed proposal in accordance with this policy.
 - 5.5.1 A brief proposal (max. 3 pages) should outline the entity's objectives, scope, funding sources, expected outcomes, leadership structure, governance, budget, and any collaboration plans.
 - 5.5.2 The proposal should be submitted to the VPR for evaluation and approval.
 - 5.5.3 Upon approval, the VPR, in conjunction with the college dean under which the center is located, appoints a director for the center or institute.
- 5.6 The appointed director is responsible for overall leadership, strategic direction, and day-to-day management of the center or institute.
 - 5.6.1 The director will develop an operational plan that outlines the objectives and initiatives aligned with the center's proposal and the university's mission to ensure efficient daily operations, including the implementation of activities, programs, and research projects.
 - 5.6.2 Establish the center and the institute's board membership and terms of reference.
 - 5.6.3 Ensure the centers and institutes' activities and collaboration adhere to the university's policies and ethics standards.
- 5.7 Centers and institutes must develop annual budget proposals detailing anticipated expenditures, funding sources, and financial needs.
 - 5.7.1 Budget proposals are submitted to the or review and approval, then to the President.
 - 5.7.2 Approved budgets are managed by the Director in accordance with university financial policies and procedures.
 - 5.7.3 For centers that are located under colleges, the budget must be submitted to college dean for approval.

5.8 Provide regular reports to the board, the VPR, and other relevant stakeholders on the center's progress and financial status.

5.8.1 Membership of the board will include:

- Director of the Centers or Institutes.
- Active researchers.
- External members (from outside the center of the institute).
- Ethics advisors.

5.8.2 Regular evaluations are conducted by VP Research to assess the impact, relevance, and alignment of centers and institutes with the university's mission.

5.8.3 An evaluation may lead to renewal, restructuring, or discontinuation of the entity. The evaluation and recommendation will be shared with the Board of Trustees for consideration and determination.

5.8.4 The board of each center or institute is required to convene a minimum of four meetings per year, online or in person, ensuring regular oversight, strategic guidance, and effective management of the entity.

5.9 Centers and institutes are encouraged to collaborate with other university departments, units, external partners, and the broader community to enhance their impact.

5.9.1 Collaborative efforts should be documented in reports and evaluations.

5.10 Centers and institutes may request physical space based on their specific needs, as outlined in their proposal.

5.10.1 Requests for additional space are submitted through email to the President.

5.10.2 Space allocation decisions are made considering availability, alignment with space allocation guidelines, and impact on research and collaboration.

5.10.3 Decisions regarding requests will be made within two (2) weeks of receipt.

Related Policies and Documents

Strategic Plan

Research Ethics Policy

Intellectual Property Policy

Conflict of Interest Policy

Contracts and Grants Policy

International Partnerships Policy

Institutional Research and Assessment Policy

Research Record Management Policy

Research Publication Policy

Copyright Policy

MoHESR Instructions for Establishing Research Centers (158)