

**KING FAHD UNIVERSITY OF PETROLEUM & MINERALS**

**REGULATIONS**

**FOR**

**EXCELLENCE IN RESEARCH AWARDS**

**Revised In**

**DECEMBER, 2003**

# **EXCELLENCE IN RESEARCH AWARDS**

## **1. PREAMBLE**

The primary function of the University is the creation, advancement and dissemination of knowledge. Thus a successful university provides fertile ground where knowledge is advanced. Through imaginative and relevant research the faculty contribute to and provide leadership in the solution of many of the problems faced by society. It is a truism that the quality of teaching at the university, and the viability of its graduate programs are directly related to the quality of research and scholarship of its faculty. To reward research achievements and foster an environment in which significant and meaningful research can blossom, the King Fahd University of Petroleum and Minerals shall give **six** awards annually to its faculty that have achieved excellence in research on a university-wide basis.

## **2. ELIGIBILITY**

All faculty members of KFUPM who, at the time of the award, have *five or more calendar years of continuous service* to the University (including sabbatical leave and official assignments) or a total of *six* calendar years of service with no more than a total of 12 months interruption in service are eligible, provided they score at least 125 points (excluding quality point rating) without the citations being included.

The point system adopted in these regulations is outlined in Appendix "A". Work that has already been considered for this award shall be excluded from consideration for a future excellence in research award. A faculty member who has already received the award will be eligible again *after* an interval similar to the above in duration and conditions.

A candidate may receive the award a maximum of three (3) times during his entire service at the University.

Eligibility should be checked by the College of Graduate Studies.

The deadline for submission of applications is the third week of the second semester so that the review committee can be appointed soon afterwards.

## **3. CRITERIA FOR AWARDS**

The main criteria for the excellence in research awards shall be the quality and significance of research accomplished in the last four calendar years as evidenced by publications in reputed, refereed scientific and/or professional journals. These publications should appear while the candidate is affiliated with KFUPM. Research grants, development of intramural research programs, supervision of M.S. and Ph.D. theses, R&D work, patents, design and planning of nationally and internationally recognized projects, and such shall, be taken into consideration. The evaluative criteria along with relative numerical ratings are shown in Appendices A & B. Candidates evaluate their own research performance using the criteria listed in Appendix "A" and compete for the award if they meet the minimum requirements. For the purposes of the award, research papers accepted for publication can be included for consideration.

## **4. NOMINATIONS FOR THE AWARD**

Faculty members may nominate themselves for the award, or be nominated for it by their department or by any two faculty members. Nominations should be sent to the Chairman of the University Research Committee. For an applicant to be eligible, he must score at least 125 points on the achievement criteria listed in Appendix A for work covering the previous four calendar years. Quality points and points for citations shall be excluded in computing this minimum score. The nominator may petition the Research Committee to waive the minimum requirement if he (they) believe the work of the nominee is of a truly exceptional quality. The petition must

include detailed justification for the request.

Candidates who believe that their work is of a truly exceptional quality can petition for an exemption from the minimum points requirement. A detailed justification must be provided.

The candidate must fill out both the summarized and detailed forms (EXA-1, EXA-3).

## **5. SELECTION OF THE CANDIDATE**

The KFUPM Research Committee shall appoint an *ad hoc* committee representing each department or area of specialization with candidates from senior faculty members having outstanding research records. Each application should be reviewed by one member from the applicant's department preferably from the same specialty as the applicant. If the member is not in the area of specialization of the applicant, the member, as a part of his review process, should consult with an expert from the area of specialization of the applicant. A faculty member who is a candidate for the award may not serve on this committee. There shall be no more than one award per department.

A memo should be sent from the Graduate School to the academic department chairmen requesting them to categorize the journals in which their department faculty published papers during the last four years. These categories should be A, B, C, D (A = Excellent, B = Very Good, C = Good, and D = Weak). This input will be used by the *ad hoc* review committee.

The main task of the *ad hoc* committee is to evaluate the research output of each candidate as per the criteria specified in Appendices A & B. The committee shall critically review duplications of any research activity and eliminate credit claimed more than once for essentially the same activity. The committee must ensure the proper implementation of all aspects of the policy.

The committee may request additional input from leading candidates. The candidates with the highest quality scores as per Appendices A & B should be nominated for the award. The final recommendations should be made in a meeting of the KFUPM Research Committee on the basis of recommendations of the *ad hoc* committee. If necessary, the chairman of the *ad hoc* committee may be asked to defend his committee's recommendations in a meeting of the Research Committee. The Research Committee shall select eight nominees (in the order of merit) and forward its recommendations to the chairman of the Committee on Convocation, Honors, and Public Events (CHPE), not later than six weeks before Commencement Exercises. The CHPE in turn will present the same to the Rector. After the approval of the Rector, the chairman of the Committee on Convocation, Honors, and Public Events (CHPE) will inform the faculty members selected for the research award, under intimation to the Dean/chairman concerned.

## **6. CRITERIA FOR NUMERICAL RATINGS**

The most important objectives of the Annual Research Award are to encourage excellence and productivity in research. These objectives are best demonstrated through original and significant research in the form of publications, books, patents, designs and planning projects and related academic output. The numerical ratings given in Appendices A and B are suggested while keeping the relative importance of various achievement criteria in view. Research activities such as theses and research projects, conference presentations, lectures and seminars which are likely to appear subsequently in the form of publications, are given a relatively lower rating. Similarly, activities such as seminars, talks, conference attendance, etc., which are mainly derived from publications are considered but given lower scores. A maximum points limit is placed on research activities such as theses, research projects, conference presentations, project designs, seminars/lectures/talks, etc., but no such maximum is placed on research reported in the form of books, journal publications and patents. The criteria proposed in Appendix A-2 is designed in order to give due recognition to significance, originality and creativity in research.

## APPENDIX A-1

## EXCELLENCE IN RESEARCH AWARD

## Relative Numerical Rating

Credit for journal articles, books, etc., are only given for items published between January 1, ..... and December 31, ..... of the respective four year period or accepted prior to December 31, of the last year of this period. (Example: If the award is for the year 2002, the period is from January 1, 1998 to December 31, 2001.)

<u>Achievements</u>	<u>Points</u>
<b>1. Published Books</b>	
(a) Graduate Level Research Oriented Books	
- <b>do not include dictionaries</b>	
- <b>do not include undergraduate textbooks</b>	
- <b>may include graduate textbooks.</b>	
Single Author	35
Two Authors (for each author)	25
Three Authors (for each author)	20
More than Three Authors (for each author)	15
The main author (first author unless otherwise specified) in jointly published work earns an additional 5 points.	
(b) Editing of Research Oriented Books or Volumes*	
Single Editor (for complete volume)	10
Two or more editors (each editor)	5
(c) Contributions to a chapter of a research-oriented book or a monograph (single or multi-authored contribution).	5
<b>2. Patents</b>	
Solo	15
Joint (two or more participants)	10
<b>3. Full Length Publications in Professional International Refereed Journals</b> see (a <sub>1</sub> and a <sub>2</sub> )	
Single Author	16
Two Authors (for each author)	13
Three Authors (for each author)	11
More than three Authors (for each author)	9
<i>For joint publications add 1 point for the main author</i>	

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\*Editing of regular journals is considered a recognition, not a research contribution.

<u>Achievements</u>	<u>Points</u>
<b>4. Publications in National/Regional or Multi-Discipline (b) Refereed Journals</b>	
Single Author	11
Two Authors (for each author)	8
Three Authors (for each author)	6
More than three Authors (for each author)	5
<i>For joint publications add 1 point for the main author</i>	
<b>5. Full Length Papers in Refereed Proceedings of International Professional Meetings</b>	
Single Author	8
Two Authors (for each author)	6
Three Authors (for each author)	5
More than three Authors (for each author)	4
<i>For joint publications add 1 point for the main author</i>	
<b>6. Full Length Papers in Refereed Proceedings of National/Regional Professional Meetings</b>	
Single Author	6
Two Authors (for each author)	4
Three Authors (for each author)	3
More than three Authors (for each author)	2
<i>For joint publications add 1 point for the main author</i>	
<b>7. Full Length Papers in Trade Journals of Professional Societies</b>	
Single Author	2
Two Authors (for each author)	1
<b>Maximum possible four-year award period</b>	<b>8</b>
<b>8. Design of Physical Structures and Urban Planning Projects (Nationally and Internationally Recognized)</b>	
Solo/First Design/Planner	10
Two Designers/Planners (each)	6
More than two Designers/Planners (each)	4
<b>Maximum possible four-year award period</b>	<b>16</b>

	<u>Points</u>
<b><u>Achievements</u></b>	
9. <b>Completed M.S. Theses + Ph.D. Dissertations</b>	
Advisor and Co-advisor (per M.S. thesis)	4
Membership (per thesis)	2
Advisor and Co-advisor (per Ph.D. thesis)	8
Membership (per Ph.D. thesis)	4
<b>Maximum points for completed M.S. and Ph.D. Theses combined for the four year period is 32</b>	
10. <b>Completed KFUPM or Externally Funded Approved Research Projects</b> (Only completed projects, continuing projects are not included)	
(a) Principal Investigator	5
(b) Co-Investigator	4
<b>Maximum possible points for four-year award period</b>	<b>20</b>
11. <b>Conference Presentations (d)</b>	
International Conference - Paper/poster presentation	3
National/Regional Conferences - Paper/poster presentation	2
<b>Maximum possible points for four-year award period</b>	<b>12</b>
12. <b>Invited Research Lectures/Seminars/Talks</b>	
Outside KFUPM (points per Lecture)	2
Inside KFUPM (points per Lecture)	1
<b>Maximum possible points for four-year award period</b>	<b>8</b>
13. <b>Citations</b>	
Each citation of a journal or conference article/book (f)	3

**NOTES:**

- (a<sub>1</sub>) AJSE is considered under this category.
- (a<sub>2</sub>) Communications will carry half credit of full length publications in categories 3-6.
- (b) A journal which publishes articles in altogether unrelated areas, for example chemistry, industrial management and electrical engineering in the same issue, is considered as a multi-discipline journal for the purpose of this evaluation.
- (c) Maximum possible for 5 and 6 is 44 points (including quality factor), and the total number given to 5, 6 & 11 cannot exceed the total points given for 3 and 4 (*including qualifying factor*).
- (d) A candidate cannot claim points for a paper presentation if he has already received points for the paper in the proceedings.
- (e) Membership in editorial boards of international journals should be taken into account when assigning the "overall research quality".
- (f) Each citation is given 3 points. The total points scored for citations shall not exceed the points scored for the total Journal publication (including quality point weighting). In order to give time for other authors to read and refer to the candidates' publications, the citations should include all papers and graduate research-oriented books of the candidate, where the citations occur between January 1, .... and December 31, ....., of the respective four year period (example: If the award is for the year 2001, the period is from January 1, 1998 to December 31, 2001). Only work of last eight (8) years can be counted in citation. Self-citations by the applicant or any other co-author are not included. Citations of the candidate's work in M.S. or Ph.D. **theses supervised** by him are also not included.

## APPENDIX A-2

### EXCELLENCE IN RESEARCH AWARD QUALITY RATINGS AND FORMS

In order to assess the quality of the research contribution of each candidate, the following is adopted:

#### 1. Quality Points

For journal publications and conference proceedings, the points obtained against each article shall be multiplied by a quality factor  $\alpha$ , where:

- |            |     |  |
|------------|-----|--|
| $\alpha =$ | 2.0 | for contributions, including invited review papers, published in a high quality prestigious international journals (or proceedings) with a thorough refereeing process;    |
| $\alpha =$ | 1.5 | for contributions published in very good quality journals (or proceedings), or surveys published in very high quality journals (proceedings);                              |
| $\alpha =$ | 1.0 | for contributions published in good quality journals (or proceedings), or surveys published in high quality journals (proceedings);  |
| $\alpha =$ | 0.5 | for contributions published in lightly refereed or obscure (not abstracted) journals (or conference proceedings) and contributions of a repetitive or introductory nature. |

In assigning a quality factor, such parameters as whether the article is an original contribution or a survey and the standing of the journal in the field shall be taken into consideration. In assessing the quality of the journal, parameters such as the impact factor may be considered.

#### 2. Leadership and Recognition in Research

The candidate is required to write a concise statement of approximately 100-200 words in length describing his major research achievements, their significance, and impact on knowledge in his field of research. The following factors may be considered by the ad hoc committee:

- a. Membership in editorial boards
- b. Organizing conferences/symposia
- c. Being invited to deliver keynote speeches
- d. Participation in International Conferences Scientific Committees
- e. Reviewing papers in reputable international journals.
- f. Leadership in funded projects (KFUPM, KACST, etc.).
- g. Initiating department junior faculty in research.
- h. Development of research laboratories at KFUPM.
- i. Serving on review boards, etc.
- j. Consultancy to National and International Scientific Institutions.

Each of the above *items will be given a maximum of 5 points* and the candidates for this award should supply details about their involvement in these activities. The maximum score for this item is 50 points.

**NUMERICAL RATING FORM FOR RESEARCH AWARD  
FOR (200\_\_ TO 200\_\_)  
[To be completed by nominee(s)]**

Name of candidate: \_\_\_\_\_ Dept. \_\_\_\_\_

Category	Reference in Resume	Score	Sub-Total
<b>1. Books</b>			
<b>2. Patents</b>			
<b>3. Journals (International)</b>			
<b>4. Journals (National/Regional or Multidiscipline)</b>			
<b>5. Conference Proceedings (International)</b>			
<b>6. Conference Proceedings (National/Regional)</b>			
<b>7. Trade Journal</b>			
<b>8. Design Projects</b>			
<b>9. Completed M.S. Theses and Ph.D. Dissertations</b>			
<b>10. Completed Projects</b>			
<b>11. Conference Presentations</b>			
<b>12. Invited Lectures</b>			
<b>13. Citations*</b>			

\*\*Name of Nominator(s) & Signature(s):

Acceptance of nomination.

\_\_\_\_\_

\_\_\_\_\_

(Signature of candidate)

(Date)

\_\_\_\_\_

\* Please provide citation analysis.

\*\*Not required if candidate is nominating himself.

**NUMERICAL RATING FORM FOR RESEARCH AWARD**  
*(To be completed by the ad hoc committee)*  
**ACADEMIC YEAR \_\_\_\_\_**

Name of candidate: \_\_\_\_\_ Dept. \_\_\_\_\_

Category	Score
1. Books	
2. Patents	
3. Journals (International)	
4. Journals (National/Regional or Multidiscipline)	
5. Conference Proceedings (International)	
6. Conference Proceedings (National/Regional)	
7. Trade Journal	
8. Design Projects	
9. Completed M.S. Theses and Ph.D. Dissertation	
10. Completed Projects	
11. Conference Presentations	
12. Invited Lectures	
13. Citations	
14. Overall Research quality	

<b>GRAND TOTAL:</b>	
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Committee Members' Names

Signature

\_\_\_\_\_

\_\_\_\_\_

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\_\_\_\_\_

Date: \_\_\_\_\_