

# Guidelines & Form for Excellence in Research Award at KFUPM

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## A. 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 contributes to and provides 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 & minerals shall give eight awards annually to its faculty that have achieved excellence in research on a University-wide basis. The deadline for submission of applications will be announced by the Deanship of Research.

## B. Eligibility

1. 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 and **provided they score at least 400 points**. The point system adopted in these regulations is outlined in Appendix A-1. 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.
2. **The latest four years average of the students' evaluation and the Department Chairman's input of the applicant should place him among the top 40% of the department faculty.**
3. A candidate may receive the award for a maximum of three (3) times during his entire service at the University.
4. Eligibility will be checked by the Deanship of Research. .

## C. Criteria for Award

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-1 & A-2. Candidates evaluate their own research performance using the criteria listed in Appendix A-1 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:

## D. 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 400 points** on the achievement criteria listed in Appendix A-1 for work covering the previous four calendar years. 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.

1. Candidates who believe that their work is of a truly exceptional quality can petition for an exemption from the minimum point's requirement. A detailed justification must be provided.
2. The candidate must fill out both the summarized and detailed forms (EXA-1, EXA-2)

## E. 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.

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-1 & A-2. 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-1 & A-2 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 a total 10 nominees for granting 8 awards as described in the following manner. It is proposed to first select 7 nominees with highest points scored from each department; the top 6 will be given the award, and the 7th will serve as backup candidate. Next, 3 nominees will be recommended in order of merit (highest three score achiever) from the pool of the remaining candidates irrespective of their department affiliations. Of these three nominees, the first two will receive an award and the 3rd nominee from this category will serve as backup.

The Research Committee will 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 CHPE will inform

the faculty members selected for the research award, with due notification given to the Dean/Chairman concerned.

## **F. 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, planning projects, and related academic output. The numerical ratings given in Appendices A-1 and A-2 are suggested while keeping the relative importance of various achievement criteria in view. Research activities such as thesis, research projects, conference presentations, lectures seminars etc., which are likely to appear in the form of publications, will be 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 point's limit is placed on research activities such as thesis, 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.

## **G. Benefits**

The award winner receives SR. 5,000 cash prize and a plaque.

## H. APPENDIX – A

### Relative Numerical Rating

Credit for journal articles, books, etc., are only given for items published between January 1, 20xx and December 31, 20xx 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 2011, the period is from January 1, 2007 to December 31, 2010.).

Achievements	Points
<b>1. Published Books*</b>	
* (Graduate Level Research Oriented Books; May include graduate textbooks; Do not include dictionaries and undergraduate textbooks)	
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.	
• Editing of Research Oriented Books or Volumes*	
Single Editor (for complete volume)	10
Two or more editors (each editor)	5
• Contributions to a chapter of a research-oriented book or a monograph (single or multi-authored contribution)	5
* Editing of regular journals is considered a recognition, not a research contribution	

<b>2. Patents</b>	
Solo	15
Joint (two or more participants)	10

<b>3. Full Length Publications in Professional International Refereed (ISI) Journals (See Notes: a &amp; b)</b>	
Single Author	16
Two Authors (for each author)	13
Three Authors (for each author)	11
More than Three Authors (for each author)	9
For joint publications add 1 point for the main author	

<b>4. Publications in International Refereed (Non ISI ) Journals* (See note below as well as Note: c at the end)</b>	
Single Author	11
Two Authors (for each author)	8
Three Authors (for each author)	6
More than Three Authors (for each author)	5
For joint publications add 1 point for the main author	

*\* For Non-ISI journals, only those which are among the list approved by the scientific council should be included and will be considered. It is the responsibility of the applicant to check the approved list and include ONLY publications in the approved list. The list can be obtained from the Research Office at the Deanship of Research.*

<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
For joint publications add 1 point for the main author	

<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
For joint publications add 1 point for the main author	

<b>7. Full Length Papers in Trade Journals of Professional Societies</b>	
Single Author	6
Two Authors (for each author)	4
Maximum possible four-year award period	8

<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
Maximum possible four-year award period	16

<b>9. Completed M.S. Thesis + 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
Maximum points for completed M.S. and Ph.D. Theses combined for the four year period	32

<b>10. KFUPM or Externally Funded Approved Research Projects</b>	
Principal Investigator	5
Co-Investigator	4
Maximum possible points for four-year award period	20

<b>11. Conference Presentations</b>	
International Conference - Paper/poster presentation	3
National/Regional Conferences - Paper/poster presentation	2
Maximum possible points for four-year award period	12

<b>12. Invited Research Lectures/Seminars/Talks</b>	
Outside KFUPM (points per Lecture)	2
Inside KFUPM (points per Lecture)	1
Maximum possible points for four-year award period	8

<b>13. Citations</b>	
Each citation of a journal or conference article/book (See Note: g)	3

<b>14. Teaching</b>	
Average student courses evaluation	60
Chairman input on the applicant teaching evaluation	20

**Notes:**

- a. AJSE is considered under this category.
- b. Communications will carry half credit of full length publications in sections 3-6.
- c. An ISI 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 and treated as a non ISI Journal. For non-ISI journals, only those which are among the list approved by the scientific council should be included and will be considered. It is the responsibility of the applicant to check the approved list and include ONLY publications in the approved list. The list can be obtained from the Research Office at the Deanship of Research.
- d. 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).
- e. A candidate cannot claim points for a paper presentation if he has already received points for the paper in the proceedings.
- f. Membership in editorial boards of international journals should be taken into account when assigning the "overall research quality".
- g. 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 are also not included. Only citations appearing in SCOPUS, ISI, Google Scholar are counted.

## I. APPENDIX: A-2: QUALITY RATING AND FORMS

### Relative Numerical Rating

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 an ISI journals (or proceedings);

$\alpha = 1.0$  for contributions published in a non-ISI journals (or proceedings),

#### Assigning the quality factor (Quality Points).

This is a crucial item in evaluation process. The alpha factor assigning can be achieved in a number of ways, which utilizes different inputs and numerical schemes devised and proposed by previous committees. These schemes are complex and there is never enough time to securitize each individual contribution with those details.

Since all the Journals are divided in to two categories the quality points are assigned as given below:

1. ISI Journals (assign initially Alpha=2 to these Journals)
2. Non ISI Journals/proceedings (assign quality factor  $\alpha = 1$  to these Journals)\*

*\*For Non-ISI journals, only those which are among the list approved by the scientific council should be included and will be considered. It is the responsibility of the applicant to check the approved list and include ONLY publications in the approved list. The list can be obtained from the Research Office at the Deanship of Research*

#### 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.

#### **Leadership and Recognition in Research (Cont.)**

- 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.

## J. NUMERICAL RATING FORM FOR RESEARCH AWARD (EXA – 1)

NUMERICAL RATING FORM FOR RESEARCH AWARD			EXA – 1
For Academic Year (20xx To 20xx)			
To be completed by nominee(s)			
Name of candidate		Department	

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

Name of candidate		Department	
**Name of Nominator(s) & Signature(s):		Acceptance of Nomination. (Signature)	
Date			
<p>* Please provide citation analysis.</p> <p>**Not required if candidate is nominating himself.</p>			

## K. NUMERICAL RATING FORM FOR RESEARCH AWARD (EXA – 2)

NUMERICAL RATING FORM FOR RESEARCH AWARD		EXA – 2	
For Academic Year (20xx To 20xx)			
To be completed by the ad hoc Committee			
Name of candidate		Department	

Category	Alpha Factor	Adjusted Score
1. Books	1	
2. Patents	1	
3. Journals (ISI)*	2	
4. Journals (Non-ISI)	1	
5. Conference Proceedings (International)	1.5	
6. Conference Proceedings (National / Regional)	1	
7. Trade Journal	1	
8. Design Projects	1	
9. (a) Completed M.S. Theses	1	
(b) Completed Ph.D. Dissertations	1	
10. Completed Projects	1	
11. Conference Presentations	1	
12. Invited Lectures	1	
13. Citations	1	
14. Annual Evaluation	1	
15. Leadership and Recognition in Research	1	

<b>Grand Total</b>	
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Committee Member's Name:	Signature

## L. NUMERICAL RATING FORM FOR RESEARCH AWARD (EXA – 3)

<b>NUMERICAL RATING FORM FOR RESEARCH AWARD</b>	<b>EXA – 3</b>
<b>For Academic Year (20xx To 20xx)</b>	

<b>To be completed by the ad hoc Committee</b>			
Name of candidate		Department	

<b>1. Books</b>	
Sub-Total 1	

<b>2. Patent</b>	
Sub-Total 2	

<b>3. Journals (ISI)</b>					
Resume Section	Item #	Journal	Points	Alpha Factor	Adjusted Points
Sub-Total 3					
Assign quality factor $\alpha = 2$					

<b>4. Journals (Non-ISI)</b>					
Resume Section	Item #	Journal	Points	Alpha Factor	Adjusted Points
				Sub-Total 4	

<b>5. Conference Proceedings (International)</b>					
Resume Section	Item #	Journal	Points	Alpha Factor	Adjusted Points
				Sub-Total 5	

<b>6. Conference Proceedings (National/Regional)</b>					
Resume Section	Item #	Journal	Points	Alpha Factor	Adjusted Points
				Sub-Total 6	
Note (a) -1.Maximum possible for 5 and 6 is 44 points (including quality factor),					

<b>7. Trade Journals</b>				
Resume Section	Item #	Journal	Alpha Factor	Adjusted Points
			1	
			1	
			1	
			1	
			1	
Sub-Total 7				
Note (a) -2: Maximum possible four-year award period (8).				

<b>8. Design Projects</b>				
Resume Section	Item #	Journal/Design Project	Alpha Factor	Adjusted Points
			1	
			1	
			1	
			1	
			1	
Sub-Total 8				
Note (b) Maximum possible four-year award period (16).				

<b>9. (a) and 9 (b) Completed M.S. Theses and Ph.D. Dissertations</b>				
Resume Section	Item #	Specify MSc or PhD Thesis	Alpha Factor	Adjusted Points
			1	
			1	
			1	
			1	
			1	
			1	
			1	
Sub-Total 9(a) and 9 (b)				
Note (c) Maximum possible four-year award period for both MSc and PhD Theses (32).				

<b>10. Completed King Fahd University of Petroleum &amp; Minerals and other Projects</b>				
Resume Section	Item #	Journal	Alpha Factor	Adjusted Points
			1	
			1	
			1	
			1	
			1	
Sub-Total 10				
Note (d) Maximum possible four-year award period (20).				

<b>11. Conference Presentations</b>				
Resume Section	Item #	Journal	Alpha Factor	Adjusted Points
			1	
			1	
			1	
			1	
			1	
Sub-Total 11				
Note (e) Maximum possible four-year award period (12) and the total number given to 5, 6 & 11 cannot exceed the total points given for 3 and 4 (including quality factor).				

<b>12. Invited Lectures/Seminars/Talks</b>				
Resume Section	Item #	Journal	Alpha Factor	Adjusted Points
			1	
			1	
			1	
			1	
			1	
Sub-Total 12				
Note (f) Maximum possible four-year award period (8).				

13. Citations				
Resume Section	Item #	Journal	Alpha Factor	Adjusted Points
			1	
			1	
			1	
			1	
			1	
Sub-Total 13				

14. Teaching					
Resume Section	Item #	Teaching evaluation	Points	Alpha Factor	Adjusted Points
		Average student courses evaluation	60	1	
		Chairman input on the applicant teaching evaluation *	20	1	
Sub-Total 14					
Chairman input will be sought by DSR from the chairman directly (					

15. Leadership and Recognition in Research (From Item 2 of Appendix A-2)			
These points are obtained from item 2 (Leadership and Recognition in Research) in Appendix A-2. The maximum score for this item is 50 points. The breakdown of maximum points in various elements is given in Table below. Fill the table below to determine the total points awarded in this category.			
	Criteria	Maximum Points	Points awarded
a.	Membership in editorial boards	5	
b.	Organizing conferences/symposia	5	
c.	Being invited to deliver keynote speeches	5	
d.	Participation in International Conferences Scientific Committees	5	
e.	Reviewing papers in reputable international journals.	5	
f.	Leadership in funded projects (KFUPM, KACST, etc.)	5	
g.	Initiating department junior faculty in research	5	

h.	Development of research laboratories at KFUPM	5	
i.	Serving on review boards, etc.	5	
j.	Consultancy to National and International Scientific Institutions	5	
	Sub Total of Item 15.	50	