

National Yang Ming Chiao Tung University Guidelines on Incentives to Faculty and Research Fellows for International Research Results

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1. National Yang Ming Chiao Tung University (hereinafter the University) establishes these incentive Guidelines to encourage its full-time faculty and research fellows (hereinafter faculty and research fellows) to actively engage in research in order to enhance the international reputation and visibility of the University.
2. These guidelines provide a comprehensive consideration of measuring the contribution of research results. The indicators of research contribution include scholarly monographs, monograph chapters, keynote speakers at international conferences, editorship of major international journals, international journal papers, international conference papers, supervisors of student-authored journal publications presented at international conferences with best paper awards, those who have made outstanding FWCI performances, highly cited researchers, principal investigators (PI) of research projects, principal investigators of international research partnership projects or Ministry of Education University Social Responsibility (USR) projects, and patents. Reward points are calculated on a cumulative basis for each indicator of the research results published in the name of the University as their affiliated academic institution.
3. Incentives are offered to those who publish scholarly monographs and monograph chapters:
 - 1) Incentive items for scholarly monographs and how to apply:
 1. Academic monographs referred to herein mean original monographs published by domestic or foreign academic publishers and submitted by the University for external review and approved by reviewers recommended by the college.
 2. If a scholarly publication is co-authored by more than one of faculty and research fellows with the University, the number of points awarded to the applicant are calculated by dividing the full number of points by the number

of authors with the University (excluding the number of authors from outside the University and those who are University students).

3. The author of academic monographs that have been reviewed and approved is awarded the following points:

- (1) Up to 20 points each for outstanding academic monographs.
- (2) Up to 12 points each for excellent academic monographs.
- (3) Up to 6 points each for category A academic monographs.

Outstanding academic monographs must be reviewed and approved by the following institutions, and vetted and printed by domestic and foreign academic publishing houses:

- (1) Internationally renowned publishers and internationally prestigious academic organizations.
- (2) National Science and Technology Council (NSTC)
- (3) Academia Sinica.
- (4) Institutions that accept SSCI/SCI/A&HCI/TSSCI/THCI journals.
- (5) Institutions accredited by credible (government) bodies.

4. The editor-in-chief of foreign-language academic monographs that have been reviewed and approved, then published by leading international publishers is awarded the following points:

- (1) Up to 10 points each for outstanding foreign-language academic monographs.
- (2) Up to 6 points each for excellent foreign-language academic monographs.
- (3) Up to 3 points each for category A foreign-language academic monographs.

5. Faculty and research fellows in the fields of humanities and social sciences, Hakka studies, law and general education are awarded the following points for the translation of monographs, apart from original monographs, that have been reviewed and approved:

- (1) Up to 5 points each for outstanding translated monographs.
- (2) Up to 3 points each for excellent translated monographs.
- (3) Up to 2 points each for category A translated monographs.

2) Incentive items for monograph chapters and how to apply:

1. Chapters in academic monographs in the humanities and social sciences published by faculty and research fellows in the fields of humanities and social sciences, Hakka studies, law and general education and submitted by

the University for external review and approved by reviewers recommended by the college. Up to 1 point is to be awarded for chapters of scholarly monographs in Category A; up to 0.5 point is to be awarded for chapters of scholarly monographs in Category B.

(1) Chapters of Category I monographs: must be reviewed and approved by the following institutions, and vetted and printed by domestic and foreign academic publishing houses:

- ① Internationally renowned publishers and internationally prestigious academic organizations.
- ② National Science and Technology Council (NSTC)
- ③ Academia Sinica.
- ④ Institutions that accept SSCI/SCI/TSSCI/A&HCI/THCI journals.

(2) Chapters of Category II monographs: vetted and printed by domestic and foreign academic publishing houses:

2. For the number of points for the monograph chapters in the year, the rule is that no more than two points per person per book are allowed. If a monograph chapter is co-authored by more than one of faculty and research fellows with the University, the number of points awarded to the applicant are calculated by dividing the full number of points by the number of authors with the University (excluding the number of authors from outside the University and those who are University students).
- 3) For rewards to academic monographs and monograph chapters, each person may only apply for one reward for the same publication. The total number of points awarded for scholarly monographs and monograph chapters should be no more than 30 points per person.
The total number of points awarded for academic monographs and monograph chapters shall not exceed 30 points per person.
- 4) The formal review for academic monographs and monograph chapters is a process whereby the permanent publication board (or editorial board) of the publisher anonymously appoints two or more academics and experts for review, and each review member offers specific review comments and suggestions for revision, and approves the publication after the author has responded and made revisions. Academic monographs, textbooks, translations, conference proceedings, research reports, etc. that have not undergone a formal review process and been approved are excluded from the application scope of these

Guidelines.

4. Incentives are offered to those serving as speakers at international conferences.
 - 1) Up to 4 points are to be awarded to each speaker per session (limited to the speaker of plenary talk or keynote speech) at the top conferences.
 - 2) Up to 2 points are to be awarded to each speaker per session (limited to the speaker of plenary talk or keynote speech) at the important conferences.
 - 3) The total number of points awarded are capped at 10 points per person.
5. Incentives are offered to those serving as the editor-in-chief or associate editor (guest editor is excluded) of a SSCI/SCI-indexed international journal. The aforementioned journal needs to be on the list of institutional benchmark journals as referenced in Article 6, Paragraph 1, Item 1 of the Guidelines, and that of college key journals as referenced in Item 2.
 - 1) The editor of a journal with a JIF Percentile equal to or greater than 90% (i.e., $\text{JIF Percentile} \geq 90\%$) is to be awarded up to 2 points per journal.
 - 2) The editor of a journal with a JIF Percentile less than 90% (i.e. $\text{JIF Percentile} < 90\%$) is to be awarded up to 1 point per journal.
 - 3) The total number of points awarded shall not exceed 10 points per person. However, recipients of the flexible salaries as per the National Yang Ming Chiao Tung University Guidelines for Merit Pay and Incentive Grants for Recruiting and Retaining Special and Superior Talents will be exempted from this point awarding system.
6. Academics with excellent results in international journals and international conference papers, supervisors of student-authored journal publications presented at international conferences with best paper awards, those who received excellent FWCI scores, and those who have been rated as highly cited researchers by Clarivate Analytics. The one-off application for a paper reward shall be initiated by either the corresponding author or the first author; however, the first author's application should be made upon the consent of the corresponding author. If there are multiple corresponding and first authors, the points awarded to the applicant are to be divided by the number of corresponding and first authors of the publication within the University. The IF value or the JIF Percentile value of the journal in which the paper is published should reflect the values from the year prior to the publication year.
 - 1) International journal papers: For papers published in SCIE/SSCI/A&HCI-indexed institutional benchmark journals or the college key journals, as well as being highly cited, and co-authored with international scholars, each applicant is entitled to one reward, except for highly cited papers.

1. Institutional benchmark journal papers:

(1) Institutional benchmark journal papers acknowledged by academia:

- ① Papers published in Nature, Science, and journals with an IF score of 40 or above (original research only, excl. review, meeting abstract), with the applicant being the main contributor. The maximum number of points per paper per person is 60.
- ② If there are multiple applicants for the same paper, the maximum number of points per paper per corresponding author is 60; the maximum number of points per paper per first author is 30; the maximum number of points per paper per second author is 10; and the maximum number of points per paper per other co-authors is 5.

(2) The top 1% benchmark journal papers:

For papers published in JCR-indexed journals circulated for more than 10 years, with a JIF Percentile $> 99\%$ (i.e. JIF Percentile $\geq 99\%$), each paper is awarded up to 8 points.

2. College's key publication journal papers:

(1) For papers published in JCR-indexed journals with a JIF Percentile between 80% and 99% (i.e. $99\% > \text{JIF Percentile} \geq 80\%$) or other incentivized key journals recommended by each college, vetted and approved by the University President or the review committee overseen by the Vice President.

(2) Papers with a JIF Percentile between 90% and 99% (i.e. $99\% > \text{JIF Percentile} \geq 90\%$), vetted and approved by the review committee; up to 4 points are to be awarded per paper.

(3) Papers with a JIF Percentile between 80% and 90% (i.e. $90\% > \text{JIF Percentile} \geq 80\%$), vetted and approved by the review committee; up to 1 point is to be awarded per paper.

(4) Papers with a JIF Percentile $< 80\%$ (i.e. JIF Percentile $< 80\%$), vetted and approved by the review committee to be categorized as incentivized key journal papers recommended by each college; up to 1 point is to be awarded per paper.

3. The total number of points awarded for the top 1% benchmark journal paper and college's key publication journal papers shall not exceed 30 points per person.

4. Highly cited papers:

For papers listed by the Essential Science Indicators (ESI) as highly cited in the current year, up to 10 points are to be awarded; only for papers published between the last 3-5 years (excluding the current year).

5. International co-authored journal papers:

If the paper is published in the above-mentioned 1% top benchmark, or college's key journal publications or is highly cited, the number of points is calculated by multiplying the number of points awarded as described above by 1.5 times.

- 2) To encourage teaching faculty and researchers in the arts and humanities and social sciences, Hakka studies, law, and relevant general education to actively publish in international journal papers, 0.5 to 1 point is offered for each paper published in publications where the JIF Percentile of its affiliated discipline is less than 80% (JIF Percentile < 80%) or in journals indexed in the Arts & Humanities Citation Index (A&HCI). For domestic journals, only papers published in the TSSCI or THCI journals in humanities and social sciences reviewed and approved by National Science and Technology Council may apply; up to 1 point is to be awarded per paper. If a paper was published in a non-JCR-indexed journal, the college may recommend the journal and list it as Other Important Journal. Once vetted and approved by the University President or the review committee overseen by the Vice President, up to 1 point is to be awarded per paper.
- 3) Papers at international conferences: The college may submit a list of benchmarking conferences determined by the University, which will be vetted by the President or the appointed committee chaired by the Vice President by convening a review meeting, and the applicant is a corresponding author of a paper presented at a benchmarking conference and published in the proceedings by the conference organizer. Points for the benchmarking conference are calculated based on the Field-Weighted Citation Impact (FWCI) for the last five years (excluding the current year), which is published by the SciVal database in the current year.
 1. Up to 6 points are to be awarded for each paper presented in a benchmarking conference with a FWCI of 6 or more.
 2. Up to 3 points are to be awarded for each paper presented in a benchmarking conference with a FWCI of 3 or more.
 3. Up to 1 point is to be awarded for each paper presented in other benchmarking conferences.

4. The criteria for recognizing the authorship of correspondence and the calculation of international co-authorship points for papers in benchmarking conferences determined by the University are handled in accordance with the college's key publication journal papers. The total number of points awarded shall not exceed 15 points per person.
- 4) Up to one point is to be awarded per paper to faculty who supervised a student paper that received the Best Paper Award at an international conference. Conferences are limited to those specified in a list of leading and important international conferences for the year provided by each college, and each person is rewarded once per paper. The total number of points awarded are capped at 5 points per person.
- 5) To encourage the improvement of the quality of research by the teaching faculty and researchers at the University, incentives are awarded to those who have made outstanding FWCI performance and contributed significantly to the overall research standard of the University. A faculty member's contribution to the quality of research at the University is assessed by subtracting the university-wide average FWCI from the individual faculty member's FWCI for the past five years (excluding the current year) and multiplying it by the total number of papers published by the teaching faculty member to serve as an indicator of contribution for the University's quality elevation. The FWCI and the number of papers published are based on the data announced by the SciVal database in the current year, and only the research output published in the name of the University is counted.
 1. Level 1: Up to 10 points to applicants who ranked in the top 10 within the University.
 2. Level 2: Up to 5 points to those who ranked 11-30 within the University.
 3. Level 3: Up to 3 points to those who ranked 31-50 within the University.
 4. Level 4: Up to 2 points to those who ranked 51-100 within the University.
- 6) Those who have received the flexible salaries specified in Article 3, National Yang Ming Chiao Tung University Regulations Governing Merit Pay and Incentives for Recruitment and Retention of Outstanding and Talented Faculty in the current year will be eligible for thesis rewards under the following circumstances.
 1. Applicants who have received an incentive under Article 3, Paragraph 1, Items 1 to 5 of the Guidelines may only apply for rewards stated in Article 6, Paragraph 1, Item 1.

2. For applicants who have received an incentive under Article 3, Paragraph 1, Item 6, and Article 2, 3, and 4 of the Guidelines, the calculation for the approved awarded points stated in Article 6, Paragraph 1, Item 2, and Paragraph 2, Paragraph 3, and Paragraph 5 for each paper is based on the following table:

Application Item	Article 1, Item 6	Article 2	Article 3 and 4
Article 6, Paragraph 1, Item 2, and Paragraph 2, Paragraph 3, and Paragraph 5	40%	50%	60%

- 7) Applicants who have been rated by Clarivate Analytics as highly cited researchers in the previous year are eligible to apply; up to 30 points are to be awarded.
7. For those leading the following research projects funded by the public or private organizations and not in a supervisory capacity:
- 1) For research projects from which the total university management fees allocated to the University exceed NT\$500,000, the principal investigator (PI) responsible for signing the project is required to lodge an application. Up to 1 point is to be awarded for every NT\$500,000 allocated for university management fees, and up to an extra 1 point is to be awarded for every additional NT\$500,000. The total points to be awarded are capped at 20 points per person.
 - 2) Up to 3 points are to be awarded to the PI of a large-scale research project in the current year, with annual funding over NT\$12 million per project each year; up to 1 extra point is to be awarded for every additional NT\$4 million over NT\$12 million. The total number of points awarded shall be no more than 20 points per person. In the case of a single integrated project, the sub-project PI may file an application, and points will be awarded to the applicant based on the number of points earned by the project PI, multiplied by the applicant's contribution to the total funding of the project.
 - 3) Up to 2 points are to be awarded to the PI for NSTC multi-component team research projects (with independent sub-projects; excluding team research projects) with total funding of projects exceeding NT\$2 million; up to 1 additional point is to be awarded to the PI, if the research team includes an assistant professor within the University.
 - 4) Up to 2 points are to be awarded to PIs who have integrated pharmaceutical research projects of NSTC or National Health Research Institutes(NHRI) in the

current year, with funding exceeding NT\$1 million per project each year, and the applicants do not receive the PI fee for the second or more projects. The total points to be awarded are capped at 4 points per person. Reward items in Subparagraphs 1 to 4 will be awarded on the basis of merit and no duplication of awards will be permitted.

- 5) Up to 2 points are to be awarded to PIs who have an international collaboration project or a USR project of the MOE, with annual funding for each project exceeding NT\$500,000. The total points to be awarded are capped at 10 points per person.
8. For invention patents published in Europe, the United States and Japan, and vetted and approved by the University, a maximum of one point will be awarded for each invention patent whose certificate has been issued. If a patent has been taken out as a joint invention, the number of points awarded shall be based on an average of the number of inventors. The total number of points granted shall not exceed 5 points per person.
8. For invention patents published in Europe, the United States and Japan, and vetted and approved by the University, a maximum of one point will be awarded for each invention patent whose certificate has been issued. If a patent has been taken out as a joint invention, the number of points awarded shall be based on an average of the number of inventors. The total number of points granted shall not exceed 5 points per person.
9. If faculty and research fellows retire or leave the University during the application period, they will not be granted incentives; if they are on unpaid leave or are on secondment, they may be awarded incentives after review and approval by the R&D standing committee meeting.
10. The rate at which each reward point is converted into an amount for each year may be separately determined by the University in the light of its overall R&D results and financial situation.
11. Applications for the University's International Research Achievement Awards are accepted for achievements within the current year; for research projects, eligibility is determined by the project's start year. The Office of Research and Development shall submit eligible candidates to the R&D standing committee meeting for review and determination of the reward points based on the individual research achievements handed in by teaching faculty and researchers.
12. These incentives are funded by government grants and the self-generated income of the university endowment fund. In the event of a shortfall in funding, the University may make adjustments as necessary depending on its financial situation.

13. The exact date of application of these incentives and the related instructions are subject to the notification and announcement of the Office of Research and Development.
14. These Guidelines shall be implemented upon approval by the administrative meeting and the University Endowment Fund Management Committee.