

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

Adopted at 3rd administrative meeting of academic year 2021 on Nov 17, 2021

Adopted at University Endowment Fund Management Committee 2nd meeting of academic year 2021 on Dec 14, 2021

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 serve as a measure of the contribution of research results. The indicators of research contribution include scholarly monographs, monograph chapters, keynote speaker at international conferences, editorship of major international journals, international journal papers, international conference papers, highly cited researchers, principal investigator (PI) of research projects, principal investigator 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 the academic institution to which they belong.
3. Those who publish scholarly monographs and monograph chapters during the year may submit their results to the Office of Research and Development, which will convene a review meeting and reward them on a merit basis according to the contribution of their research results. The reward items and points are as follows:
  - 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. Chapters of Category I monographs are counted as 1 point each; chapters of Category II monographs are counted as 0.5 points each.

(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 given to those acting as speakers at international conferences in the year. The international conferences refer to those set out in the list of top and important international conferences provided by the colleges for the year. Points are calculated as follows:

- 1) Four points to each speaker per session (limited to plenary talk and keynote speaker) at the top conferences.
  - 2) Two points to each speaker per session (limited to plenary talk and keynote speaker) 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 (excl. guest editors) of a major international journal during the year, which must be included in the SSCI/SCI database. Points are calculated as follows:
- 1) The editor of a journal with an impact factor (IF) value in the top 25% (i.e.  $RF \leq 25\%$ ) in the subfield to which it belongs is given 2 points per journal.
  - 2) The editor of a journal with an IF ranking beyond 25% (i.e.  $RF > 25\%$ ) in the subfield to which it belongs is awarded one point per journal.
  - 3) The total number of points awarded shall not exceed 10 points per person.
6. Academics with excellent results in international journals, international conference papers and those who have been rated as highly cited researchers by Clarivate Analytics may submit their research achievements to the Office of Research and Development, which will convene a review meeting and reward them on the basis of their contribution. The applicant for a paper reward is either the corresponding author or the first author; however, the first author's application should be made with the consent of the corresponding author. If there are multiple corresponding and first authors, the number of points awarded to the applicant for the paper are calculated by dividing the full number of points by the number of corresponding and first authors of the university submitting the application. The RF value of the journal in which the paper is published is calculated to the nearest whole number after being translated into percentages using the current year's published values (decimals not counted). The incentive items and points are as follows:
- 1) International journal papers: International journal papers: Each person is entitled to one reward for each paper published in benchmark, top journals, highly cited paper and internationally co-authored paper, except for highly cited papers.
    1. Reward items, points calculation and application method for papers in benchmark journals:
      - (1) Papers in benchmark journals: Papers published in *Nature*, *Science*, and journals with an impact factor 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 following principles apply:

- ① A maximum of 60 points to the corresponding author.
- ② A maximum of 30 points to the first author.
- ③ A maximum of 10 points to the second author.
- ④ A maximum of 5 points to other co-authors.

2. How to calculate the number of points for top journal papers and how to apply:

(1) SCI/SSCI journal papers published in the relevant fields of ISI/WOS/JCR databases and ranked in the top 25% of IF (i.e.  $RF \leq 25\%$ ) in the subfield to which the journal paper belongs.

(2) Points calculation for papers in top journals:

- ① Level 1: If the IF value is in the top 1% (i.e.  $RF \leq 1\%$ ) in the subfield to which the paper belongs, a maximum of 8 points are awarded for each paper.
- ② Level 2: If the IF value is ranked between 1% and 10% (i.e.  $1\% < RF \leq 10\%$ ) in the subfield to which the paper belongs, a maximum of 4 points are awarded for each paper.
- ③ Level 3: If the IF value is ranked between 10% and 25% (i.e.  $10\% < RF \leq 25\%$ ) in the subfield to which the paper belongs, a maximum of 1 point is awarded for each paper.

(3) The total number of points awarded shall not be more than 30 points per person.

3. How to calculate the number of points for highly cited papers and how to apply:

For papers announced by the Essential Science Indicators (ESI) as highly cited in the current year, 10 points is granted for each paper published in the last 5 years (excluding the current year).

4. How to calculate the number of points for international co-authored journal papers and how to apply:

If the paper is published in a top journal as noted above 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 faculty members in the arts and humanities and social sciences to actively publish in international journals, one point is offered for each paper with an RF of  $>25\%$  or for papers that have been accepted in A&HCI journals.

For domestic journals, the list of journals reviewed and approved by NSTC in the field of humanities and social sciences and accepted by TSSCI and THCI shall apply, with one point counted for each paper. If some journals are not included in the JCR database, the college may recommend a list of other important journals to be presented to the R&D standing committee meeting for vetting, with one point granted for each paper. The total number of points awarded shall not exceed 10 points per person.

- 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 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. Six points for each paper in a benchmarking conference with a FWCI of 6 or more.
  2. Three points for each paper in a benchmarking conference with a FWCI of 3 or more.
  3. One point is given for each paper in the rest of the 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 similar to those for papers in leading journals. The total number of points awarded shall not exceed 15 points per person.
- 4) One point per paper is given to those who have supervised a student to present a paper at an international conference in the year, which receives the Best Paper Award. 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 faculty members 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 faculty member. 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: 10 points to those ranked in the top 10 at the University.
2. Level 2: 5 points to those ranked 11-30 at the University.
3. Level 3: 3 points to those ranked 31-50 at the University.
4. Level 4: 2 points to those ranked 51-100 at the University.

The ranking outcomes are calculated by the Office of Research and Development and eligible faculty members will be notified to submit their applications.

- 6) Those who have met the eligibility criteria in paragraph 3 of the "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. Those who have received an incentive under items 1 to 5, subparagraph 1, paragraph 3 of the regulations may only apply for rewards for articles in the level 1 benchmark and top journals.
2. For those who have received an incentive under item 6, subparagraph 1; and subparagraphs 2, 3 and 4, paragraph 3 of the regulations, an additional 40%, 50% and 60% of the total number of points are awarded for their papers in level 2 and level 3 top journals, top conference papers approved at university level, and those specified under subparagraph 5, paragraph 6 thereof respectively.

- 7) Those who have been rated by Clarivate Analytics as highly cited researchers in the previous year are eligible to apply for 30 points.

7. For those leading the following research projects funded by the public or private organizations and not in a supervisory capacity:

- 1) If the total amount allocated to the University for coordination and management by the current research project is above NT\$500,000, the principal investigator (PI) responsible for signing the project is required to lodge an application. One point is given for each NT\$500,000 for university management, and an extra point is given for each additional NT\$500,000, and the total number of points

rewarded shall be no more than 20 points per person.

2) Three points are given for the PI of large-scale research projects in the current year, with annual funding each in excess of NT\$12 million, and one extra point for each additional NT\$4 million above 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) Two points are awarded to the PI for each NSTC integrated research project (with independent sub-projects, not including single integrated ones), if the total annual funding for each project tops NT\$2 million in the current year. An additional point is given to the PI if the team members include an assistant professor at the University.

4) Two points are awarded to those who have led a NSTC or National Health Research Institutes (NHRI) integrated pharmaceutical research protocol in the current year with funding exceeding NT\$1 million per study per year and no PI fee received for the second or more protocols. The total number of points awarded shall not exceed 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) For the current year, if one acts as PI of an international research collaboration project or the MOE's USR project with the annual funding for each project exceeding NT\$500,000, two points will be awarded, and the total number of points given shall not be more than 10 points per person.

8. For invention patents published in Europe, the United States and Japan during the year, 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. Regarding the review of the University's international research results, the Office of Research and Development submits eligible candidates to the R&D standing committee meeting for vetting and determination of the reward points based on the individual research achievements handed in by faculty and research fellows.
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.