

National Chung Hsing University

Regulations for Academic Research Incentives

December 9, 2011 Approved by the 61st University Council Meeting
December 28, 2012 Revisions (Article 2 and Articles 4 to 14) approved by the 64th University Council Continuation Meeting
May 30, 2014 Revisions (Article 4) approved by the 69th University Council Continuation Meeting
December 12, 2014 Revisions (Articles 2, 4, 5, and Articles 9 to 13) approved by the 71st University Council Meeting
December 11, 2015 Revisions (Articles 1 to 4 and Articles 6 to 13) approved by the 73rd University Council Meeting
April 17, 2018 Revisions (all articles) approved by the 80th University Council Meeting
May 28, 2019 Revisions (Articles 3 and 5) approved by the 85th University Council Meeting
December 20, 2019 Revisions (all articles) approved by the 87th University Council Meeting
April 24, 2020 Revisions (Article 11) approved by the 88th University Council Meeting
October 23, 2020 Revisions (all articles) approved by the 90th University Council Meeting
October 15, 2021 Revisions (Articles 2, 4, and 12) approved by the 94th University Council Meeting
December 24, 2021 Revisions (Article 4) approved by the 95th University Council Meeting
April 22, 2022 Revisions (Articles 4 and 7) approved by the 96th University Council Meeting

- Article 1 The *Regulations for Academic Research Incentives* (hereinafter referred to as “the Regulations”) have been formulated by National Chung Hsing University (NCHU or “the University”) to improve academic research performance and quality, boost the University’s reputation and international standing, and advance the University’s drive to become a world-class educational institution.
- Article 2 The scope of the Regulations includes incentives offered to full-time, part-time, co-appointed, visiting, and research personnel (including contract hires and postdoctoral researchers) of the University who published academic research in the preceding year in affiliation with the University.
- Applicants must be teaching or research personnel currently appointed at the University to receive incentives. Full-time faculty members must have met the minimum teaching hours in the most recent academic year in order to be eligible. Contract faculty members are subject to the same minimum teaching hour requirements as full-time faculty members of the same academic rank. Part-time and chair professors shall be subject to the University’s *Regulations for Incentives for the Publication of Academic Papers by Part-Time and Chair Professors*.
- Article 3 In order to implement a more comprehensive assessment of faculty members’ contributions to research outcomes and to reward them accordingly, academic research shall be evaluated based on the following criteria:
1. Publication in regular journals
 2. Publication of outstanding journal papers and monograph papers in the fields of the humanities and social sciences
 3. Monographs: 5 to 30 points for each publication
 4. Citation performance
 5. Total number of academic papers
 6. Academic papers produced in collaboration with non-NCHU individuals
 7. Awards for Personal Development in Research
 8. Guiding students to win the National Science and Technology Council’s Undergraduate Student Research Project Creativity Award
- Article 4 The term “publication in regular journals” mentioned in Article 3 of the Regulations refers to papers published in academic journals indexed in the Science Citation Index Expanded (SCIE), Social Sciences Citation Index (SSCI), or Art & Humanities Citation Index (A&HCI), or journals ranked in the top 10% of the SCOPUS database. Such papers can be further classified into the following categories:
1. Top-tier journal papers: Papers published in *Science*, *Nature*, or other top international academic journals of similar or higher standing (with an impact factor [IF] of 30 or higher). For each academic paper in this category, the applicant shall be awarded a monetary prize based on the order of their authorship, as follows: NT\$300,000 for first or corresponding author, NT\$100,000 for second author, NT\$50,000 for third author, and NT\$20,000 for fourth or subsequent authors. Incentives for this type of journal paper shall be submitted to the next academic financial review meeting of the Office of Research and Development for review and shall be awarded immediately after approval; however, such incentives shall not count towards the points awarded.
 2. A-tier journal papers:

- 1) Each paper published in an SCIE- or SSCI-indexed journal shall be awarded points based on the journal's impact factor as published in the latest Journal Citation Reports (JCR) on the date of the application submission deadline. The number of points awarded shall be the journal's impact factor rounded to the first decimal place.
- 2) Applicants who have already received a flexible pay incentive (awarded to the University's chair or distinguished professors) or who are serving as part-time, co-appointed, or visiting faculty members at the time of application submission may only apply based on papers that meet any of the following criteria:
 - a. Papers published in journals with an impact factor of 4 or higher and NOT published in collaboration with international scholars
 - b. Papers published in journals with an impact factor of 3 or higher and published in collaboration with international scholars
3. B-tier journal papers:

- 1) Each paper published in an SCIE- or SSCI-indexed journal shall be awarded points based on the journal's latest JCR ranking (by percentage) published on the date of the application submission deadline. The table below lists the number of points awarded for different rankings:

Ranking (R) (in percent)	Number of points
$R \leq 1\%$	12
$1\% < R \leq 10\%$	10
$10\% < R \leq 25\%$	8
$25\% < R \leq 50\%$	3
$50\% < R \leq 75\%$	2

- 2) Applicants who have received flexible pay incentives (awarded to the University's chair or distinguished professors) or who are serving as part-time, co-appointed, or visiting faculty members at the time of application submission may only apply based on papers that meet any of the following criteria:
 - a. Papers published in journals ranking in the top 25% or above and NOT published in collaboration with international scholars
 - b. Papers published in journals in the top 50% or above and published in collaboration with international scholars
4. C-tier journal papers: For each paper published in a journal indexed in the A&HCI, the applicant shall be awarded 10 points.
5. D-tier journal papers: For each paper published in a journal ranked in the top 10% of the SCOPUS database, the applicant shall be awarded 8 points. For each paper published in an SSCI-indexed journal, the applicant shall be awarded points based on the impact factor or ranking (in percent) of the journal (the requirements shall be 1.2 times that of those for A-tier or B-tier journal papers). If JCR has not yet published the latest journal IFs and rankings of the given year at the time of application acceptance, the application documents may be submitted later to the academic financial review meeting of the Office of Research and Development for review in September or December of the same year based on the latest journal IFs and rankings. Each journal paper may only be submitted in the highest tier eligible, and articles may not be resubmitted for other incentives.

Incentive guidelines for journal papers co-published through substantial collaboration with the private sector or international scholars:

1. Each paper shall have at least one author employed in the private sector or at an academic or research institution overseas (mainland China, Hong Kong, and Macau excluded).

2. Incentives awarded for journal papers co-published with international scholars shall be subject to a multiplier of 1.8; if any of the international scholars is serving at one of the top 100 global universities, the multiplier shall be 2.5.
3. Incentives awarded for journal papers co-published with the private sector shall be subject to a multiplier of 1.3.
4. Incentives awarded for journal papers co-published with both the private sector and international scholars shall be subject to a multiplier of 2.2.

The list of eligible corporations shall be based on the list included in the SCOPUS database, which shall be compiled by the Academic Development Division of the Office of Research and Development and announced on its website.

The top 100 global university rankings shall be based on the latest ranking announced by the QS World University Rankings, the Times Higher Education World University Rankings, the Academic Ranking of World Universities, and the U.S. News & World Report Best Global Universities Rankings. These rankings shall be compiled by the Academic Development Division of the Office of Research and Development and announced on its website.

Article 5

The term “outstanding journal papers and monograph papers in the fields of the humanities and social sciences” mentioned in Article 3 of the Regulations refers to the following:

1. Journal papers: Papers published in journals listed in the National Science and Technology Council Evaluation of Taiwan Humanities and Social Science Journals and the Collection of Core Journals, which includes journals listed in the Taiwan Humanities Citation Index (THCI) and the Taiwan Social Science Citation Index (TSSCI). The list of eligible journals and the number of points awarded (between two and eight points, depending on the journal tier) shall be decided in meetings convened by the Office of Research and Development and held between the University’s College of Liberal Arts, College of Management, and College of Law and Politics. However, chair and distinguished professors may only apply for papers published in Tier-1 core journals. Points shall be awarded according to the following principles:
 - 1) THCI-indexed Tier-1 journals: 8 points
 - 2) THCI-indexed Tier-2 journals: 4 points
 - 3) TSSCI-indexed Tier-1 journals: 8 points
 - 4) TSSCI-indexed Tier-2 journals: 4 points
 - 5) THCI- or TSSCI-indexed Tier-3 journals: 0 points
 - 6) To incentivize publication in NCHU journals, papers published in THCI- or TSSCI-indexed Tier-3 journals published by the University shall be awarded 2 points.
2. Monograph papers
 - 1) Eligibility criteria:
 - a. Papers included in monographs published by domestic or international publishing houses
 - b. Monographs published by domestic or international publishing houses with an academic editorial and review process
 - c. Papers must undergo anonymous peer review by at least two reviewers before publication.
 - 2) Point awarding criteria: Two points shall be awarded if criterion a or b is met; an additional one to two points shall be awarded depending on criteria c and d.
 - a. Monographs consist of a collection of academic papers or conference papers presented at domestic or international academic conferences.
 - b. Interconnected themes between monograph chapters
 - c. International academic standing of a monograph’s editor and authors
 - d. Domestic and international significance of the publishing house

The incentives awarded for journal papers co-published with the private sector or international scholars shall be the same as those set forth in Article 4, Paragraph 5, Subparagraphs 1 to 4.

Article 6

Monographs as referred to in Article 3 shall be published or issued by a domestic or international academic publishing house after undergoing a formal review process, with two or more review reports from the publishing house attached, and shall be peer reviewed

by three distinguished scholars appointed by the dean of the applicant's affiliated college and approved by the faculty evaluation committee of said college. Monographs shall be classified into the three following tiers based on the review comments:

1. Top-tier monographs: For each monograph published, the applicant may be awarded 20 to 30 points; each applicant may only apply for one monograph each year.
2. Distinguished monograph: For each monograph published, the applicant may be awarded 10 to 20 points.
3. Exceptional monograph: For each monograph published, the applicant may be awarded 5 to 10 points.

The aforementioned formal review process shall consist of a review by two or more anonymous scholars or experts selected by the permanent publication or editorial board. Each reviewer shall provide substantive review comments and revision recommendations. After the response and revisions are made by the author(s), the reviewers shall have deliberated over whether to approve the work's publication.

Regular textbooks and compiled publications are not eligible for these incentives. However, this restriction shall not apply to publications awarded a grant for the National Science and Technology Council's Compilation Project for Classics in Humanities and Social Sciences.

Article 7 Citation performance as referred to in Article 3 of the Regulations shall be assessed through the number of highly cited papers or h-index papers or the citation count performance of individual papers over the past five years.

Highly cited papers and h-index papers: The first author or corresponding author shall be awarded 15 points for each paper; the remaining authors shall be awarded five points for each paper. Each author may only be awarded points for each paper once.

Highly cited papers are papers with citation counts in the top 1% of their respective disciplines in the Essential Science Indicators (ESI) database. Each paper shall be eligible for 15 points.

H-index papers are journal papers published in SCIE- or SSCI-indexed journals with a citation count greater than or equal to the h-index of the University. Each paper shall be eligible for 15 points.

The list of highly cited papers and h-index papers shall be compiled by the Academic Development Division of the Office of Research and Development from among the academic papers published by the University in the past 10 years. The list shall be announced on the website of the Academic Development Division. Papers published within the past two years are not eligible to receive points awarded for highly cited papers. If a paper is both a highly cited paper and an h-index paper, only one assessment criterion may be used.

The five-year citation count performance of individual papers refers to the citation count ranking (in percentiles) of individual papers of the same discipline, category, and year of publication in the ESI database. This metric may only be considered for applications submitted by the papers' first or corresponding authors. The table below lists the number of points awarded for the different percentiles:

Citation count percentile	Number of points
100 > Percentile ≥ 95	4
95 > Percentile ≥ 90	3
90 > Percentile ≥ 85	2
85 > Percentile ≥ 80	1

Each author may only be awarded points for each paper once.

Article 8 The total number of academic papers as referred to in Article 3 is the total number of papers published in the preceding year (including regular journal papers and outstanding journal papers, monograph papers, and monographs in the fields of the humanities and social sciences).

Personnel who published five papers in the preceding year shall be awarded three points,

with one extra point added for each additional paper published. Papers that do not meet the incentive application eligibility criteria set forth in Articles 4 to 6 shall not count towards the total number of papers.

Article 9 Academic papers produced in collaboration with non-NCHU individuals as referred to in Article 3 are limited to papers produced in the preceding year through collaborations between NCHU faculty members and domestic or international academic research units, hospitals, or corporate organizations. The aforementioned NCHU faculty members shall not be the first or corresponding author and shall participate in such collaborations in the name of the University. Applications are limited to one of the following types:

1. For papers published in journals with an IF of 10 or higher, the points awarded shall be equal to the IF value * 0.1.
2. For papers published in journals with an R of 50% or lower, 0.2 points shall be awarded for each paper.
3. For outstanding journal papers, monograph papers, and monographs in the fields of the humanities and social sciences, 0.2 points shall be awarded for each publication.

If the first or corresponding author of a collaborative paper is from mainland China, Hong Kong, or Macau, the paper shall not be eligible for the incentives. Part-time, co-appointed, visiting, and chair faculty members may not apply for the incentives. Applicants who submit applications based on publication in a top-tier journal paper in a given year may not apply for the incentive for papers produced in collaboration with non-NCHU individuals in the same year.

Article 10 The Award for Personal Development in Research referred to in Article 3 shall apply to personnel who publish papers in SCIE-, SSCI-, or A&HCI-indexed journals or outstanding journals, monograph papers, or monographs in the fields of the humanities and social sciences as first or corresponding author. If the cumulative number of papers published in a given year is twice or more of the average number of publications in the preceding three years, a multiplier of 1.5 shall be applied to the cumulative number of points awarded for the journal papers published in that year. Part-time, co-appointed, visiting, and chair faculty members are not eligible for the award.

Article 11 Upon implementation of the Regulations, applications under the category of guiding students to win the National Science and Technology Council's Undergraduate Student Research Project Creativity Award as stipulated in Article 3 must be submitted to the latest academic grant review meeting of the Office of Research and Development for review. If approved, such applications shall be eligible for six points. Part-time, co-appointed, visiting, and chair faculty members are not eligible for the incentive.

Article 12 In accordance with the Regulations, applications for incentives may only be submitted by first or corresponding authors (this restriction shall not apply to applications for top-tier journal papers, highly cited papers, h-index papers, and collaborative papers). Non-first authors with equal contributions to the first author shall be regarded as first authors and awarded points accordingly.

Applications for co-authored publications shall be submitted by one person. Pursuant to the Regulations, each academic research achievement may only receive the incentives once.

Academic research outcomes that are awarded incentives in accordance with the regulations of the affiliated college shall not be eligible for other incentives.

Article 13 Applicants who file incentive applications in accordance with the Regulations shall provide their academic research achievements online in the NCHU Institutional Repository for public inquiry, access, and transmission.

Article 14 Application and review procedures:

1. Applicants shall submit their applications online through the University's Academic R&D Service system by the end of March with copies of the offprints of the target paper(s) as well as other supporting documents (e.g., correspondence with magazine publishers) attached.
2. A preliminary review shall be carried out by the applicants' affiliated department, institute, and college. The Office of Academic Affairs shall examine whether applicants meet the minimum teaching hour requirements.
3. Review meeting: The academic grant review meeting shall be convened annually in

June by the Academic Development Division of the Office of Research and Development to deliberate over the matter of awarding points and incentives.

- Article 15 The academic research incentives shall be funded with the annual surplus from the University's industry cooperation project funds or the self-generated income from the University Endowment Fund. Incentive recipients shall receive a monetary prize based on the number of points they receive for their academic research achievements. Non-full-time personnel shall only receive half of the monetary prize awarded to full-time personnel. The conversion rates between points and rewards shall be determined annually based on the funding available in the given year. Incentive recipients may not receive a cumulative total of more than 100 points in a given year.
- Article 16 Personnel who have received incentives shall have their incentives rescinded if any of their papers are found to be in violation of academic ethics, and any monetary prize already awarded shall also be repaid.
- Article 17 The Regulations shall take effect upon approval by the University Council Meeting. The same shall hold true when amendments are made.