National Taiwan Normal University
Guidelines for Handling Cases of Violations of Academic Ethics and Integrity by Project Personnel
國立臺灣師範大學計畫人員違反學術倫理與誠信案件處理要點

Reviewed and passed during the 2nd Academic and Administrative Executives' Joint Meeting in the Academic Year 2017 on October 11, 2017

1. National Taiwan Normal University (hereinafter referred to as "the University") has established these guidelines in accordance with the *Guidelines for Handling and Investigating Research Misconduct by the Ministry of Science and Technology* and the *Guidelines for Handling Academic Ethics Cases for Junior Colleges and Above* 專科以上學校學術倫理案件處理原則 by the Ministry of Education to ensure an impartial and objective procedure for handling cases pertaining to post-doctoral researchers and project assistants (hereinafter "project personnel") violating academic ethics and integrity.

2. These guidelines shall apply to project personnel of the University who engage in research under industry-academia collaboration projects.
3. "Violations of academic ethics and integrity" as mentioned in these guidelines shall refer to any of the following misconducts:

(1) Forgery: Fabrication of non-existent application materials, research materials or research results;

(2) Falsification: Inappropriate alteration of application materials, research materials or research results;

(3) Plagiarism: Appropriation of other person's application materials, research data, or research results without attributing to the source; Extensively citing the source improperly is considered plagiarism;

(4) Writing by a third party;

(5) Concealed partial use of previously published results or publications;

(6) Repetitive publication without explanatory notes, resulting in double counting of research achievements;

(7) Extensive citing of own published works in research projects or journal papers without appropriate citing;

(8) Adopting translated statement(s) from work(s) of others in one's own research without appropriate citing;

(9) Illegal or inappropriate means are used to influence the review of the paper; and

(10) Other misconducts in violation of academic ethics and integrity that have been corroborated by competent authorities.

4. An informant (real name shall be disclosed) or a unit that intends to report a case of a project personnel committing a breach of academic ethics and integrity shall file a written document to the Office of Research and Development, specifying the name and the misconduct of the errant personnel, with evidence attached.

Upon receipt of said reported case and verification of the informant's or unit's identity, the Office of Research and Development shall commence the University's handling procedures and complete the inquiry within a week to determine if said case is substantiated. In the event of a case rejection after the inquiry, said case shall be closed after written notification to the informant or reporting unit. Informant cases deemed valid shall be

submitted to the college with which the respondent is affiliated. Said college shall establish an Investigation Task Force for Project Personnel Violating Academic Ethics and Integrity (hereinafter "the Investigation Task Force") within two weeks. Said Investigation Task Force shall complete the investigation within two months, which may be extended by one month when deemed necessary. Confidentiality shall be ensured all throughout the entirety of the investigation.
In the event of anonymously reported cases or other reporting circumstances, the Office of Research and Development may take the initiative to investigate the case *ex officio* when deemed necessary.
5. The composition, meetings, and resolutions of the Investigation Task Force shall comply with the following provisions:
(1) The Investigation Task Force shall be comprised of five to seven people, including the dean of the respondent's college, the director of the respondent's department or the graduate institute, and impartial scholars and experts, both internal and external, from related fields selected and appointed by said dean. Persons affiliated with said department or graduate institute shall not exceed one-third of the total Task Force members. The identity of all Task Force members shall be kept confidential.
(2) Said dean shall be the convener and chairman of Investigation Task Force meetings. Should said dean need to be recused, the Vice President for the Office of Research and Development shall take over as the convener. Should said dean and said Vice President for the Office of Research and Development both need to be recused, the President shall appoint an Executive Vice President to be the convener.
6. During the investigation, the Investigation Task Force shall notify the respondent in writing to request a written explanation or on-site presence to provide comments. Failure to provide a written explanation or on-site comments within the specified period of time shall be deemed a renouncement of the opportunity to make a statement. Where necessary, the principal investigator of the respondent's project may be invited to provide comments on-site.
7. After the investigation is completed, said Investigation Task Force shall make a concrete resolution. Verification of a violation of academic ethics and integrity shall require at least two-thirds of the total Task Force members present at the meeting and at least two-thirds of the present members in agreement that the alleged violation is substantiated. The investigation report and meeting minutes shall be submitted to the University's Review Committee for Project Personnel Violating Academic Ethics and Integrity (hereinafter "the Review Committee") for verification.
8. The composition, meetings, and resolutions of the Review Committee shall comply with the following provisions:
(1) The Review Committee shall be comprised of an Executive Vice President, the Vice President for the Office of Research and Development, and deans from each college. Said Executive Vice President shall be the convener and chairman of the meeting. Should said Executive Vice President need to be recused, the Vice President for the Office of Research and Development shall take over as the convener. Should said Executive Vice President and said Vice President for the Office of Research and Development both need to be recused, the President shall appoint a person to be the convener.
(2) The Review Committee shall make judgments on cases based on the principles of fairness, impartiality, and objectivity. Resolutions shall require at least two-thirds of the committee members to be present at the meeting and at least two-thirds of the present members voicing their approval.

The English version is provided for reference only.
The Chinese version shall prevail in case of any discrepancies between the English and Chinese versions.

9. To ensure the objectivity and fairness of the investigation and judgment, members of the Investigation Task Force and the Review Committee shall be recused should they have any of the following relationships with the respondent:
(1) Current or previous dissertation/thesis mentorship, member of the Oral Defense Committee, or a principal investigator;
(2) The member or the respondent is or has been the spouse or a relative by blood within the fourth degree of consanguinity or by marriage within the third degree of consanguinity of the other person; or (3) Academic collaboration relationships or have other vested interests.
The aforementioned vested-interest relationships above shall be determined by the Investigation Task Force and the Review Committee separately.
10. After a reported case is reviewed by the Review Committee and approved by the President following submission by the Office of Research and Development, the informant and the respondent shall be informed of the results in a written official document.
11. A project personnel verified to have committed serious violations of academic ethics and integrity shall be dismissed or handled in accordance with the *Guidelines for Handling Academic Ethics Cases for Junior Colleges and Above* 專科以上學校學術倫理案件處理原則 by the Ministry of Education, the *Guidelines for Handling and Investigating Research Misconduct by the Ministry of Science and Technology* 科技部學術倫理案件處理及審議要點 and relevant regulations. Should said project staff member violate other laws or regulations, relevant laws or regulations shall apply.
Should a project staff member be verified to have violated academic ethics and integrity but to a degree not deemed grave enough as in the previous paragraph, the Review Committee shall issue a written warning to the said personnel, order a public apology or take other appropriate actions.
12. Reported cases handled in accordance with these guidelines shall be reported to the University's Academic Ethics and Integrity Committee every semester. 13. Matters that are not regulated in these guidelines shall be administered in accordance with the relevant regulations of the Ministry of Science and Technology, the Ministry of Education, and the University.
14. These guidelines shall be passed by the University's Academic Executives Meeting prior to implementation. The same shall apply in the case of amendments.

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