National Taiwan Ocean University
Regulations Governing the Review of Academic Ethics Cases Involving Researchers

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Article 1 National Taiwan Ocean University (hereinafter referred to as "the University") has established these Regulations to actively uphold academic ethics and to handle violations of academic ethics by researchers of the University.

Article 2 These Regulations apply to researchers of the University who apply for or obtain grant-funded research projects (excluding projects funded by grants from the Ministry of Education) or other academic research outcomes, including:

1. Full-time faculty members (including project-based faculty members).
2. Full-time researchers (including project-based researchers).
3. Full-time, part-time, and contracted professional and technical personnel.
4. Contracted postdoctoral researchers.
5. Full-time and part-time assistants.

Article 3 For the purposes of these Regulations, a violation of academic ethics refers to any of the following acts committed by the personnel specified in Article 2 in connection with the publication of papers, authorship of books, patent applications, or other academic outcomes:

1. Fabrication, falsification, or alteration of research materials, research data, or research results.
2. Plagiarism or copying of the research materials or research results of a third party.
3. Duplicate publication without proper disclosure, resulting in the double counting of research results and affecting the judgment of reviewers.
4. Intentional misrepresentation of the names of authors.
5. Other serious violations of academic ethics.

Article 4 The University shall establish the Researcher Academic Ethics Committee (hereinafter referred to as "the Committee"), which shall be responsible for receiving, investigating, and reviewing cases involving violations of academic ethics.

For cases found to be substantiated upon review, the Committee shall make recommendations on disciplinary action and refer them to the respective employing units for handling.

The Committee shall consist of seven to eleven members, who shall serve a term of two years and may be reappointed. The Vice President shall serve as the convener, and the Dean of Research and Development shall serve as an ex officio member; the remaining members shall be experts and scholars from within and outside the University appointed by the President. All members shall serve without remuneration; external members may be paid attendance fees and transportation expenses in accordance with applicable regulations.

Meetings of the Committee shall be convened by the convener or upon the joint

signature of at least one-third of the members.

If the convener is unable to chair a meeting for any reason, the members shall elect one among themselves to act on the convener’s behalf.

Meetings of the Committee shall require the attendance of at least two-thirds of the members, and resolutions shall require the approval of at least two-thirds of the members present.

Members who are required to recuse themselves from the review of a case under Article 12 of these Regulations shall not be counted toward the attendance referred to in the preceding paragraph.

Article 5 The Committee shall review cases involving the academic ethics of researchers of the University in accordance with the principles of fairness, objectivity, promptness, and rigor.

Article 6 Cases reviewed by the Committee fall into the following three categories:

1. Cases reported through a complaint alleging any of the circumstances specified in the subparagraphs of Article 3 (hereinafter referred to as "complaint cases").
2. Cases involving any of the circumstances specified in the subparagraphs of Article 3 that are referred by external academic or research institutions (hereinafter referred to as "externally referred cases").
3. Cases involving any of the circumstances specified in the subparagraphs of Article 3 that are identified by departments, graduate institutes, research centers, or other relevant units of the University in the course of reviewing research awards and subsidies, evaluations, or other related matters, and are proactively referred to the Committee (hereinafter referred to as "internally referred cases").

The provisions of these Regulations governing complaint cases shall apply mutatis mutandis to internally and externally referred cases.

Article 7 A complainant shall file a complaint with the Committee (to be received by the Office of Research and Development) under their real name and address, specifically identifying the respondent and the content of the complaint and attaching supporting evidence.

Upon receipt of a complaint, the Office of Research and Development shall immediately forward the case to the convener of the Committee. The University may decline to accept complaints filed under a pseudonym, filed anonymously, or lacking specific evidence.

Within three working days, the convener shall designate two members to verify with the complainant that the complaint was indeed filed by the complainant and to specifically identify the evidence of the alleged violation of the subparagraphs of Article 3, and shall convene a meeting within ten working days. All personnel involved shall maintain confidentiality throughout the process.

Complaints that fail to specifically identify a violation of the subparagraphs of Article 3 or fail to provide sufficient evidence shall not be accepted.

Article 8 For each case accepted, the Committee shall form an investigation panel, which in principle shall consist of three to five members. Where necessary, depending on the nature of the case, one to three scholars or experts in the relevant field may be engaged to serve as ad hoc members.

The investigation panel shall verify the facts of the accepted case and, within two months, submit an investigation report and proposed recommendations to the

Committee for review. This period may be extended by one month when necessary.

Article 9 The Committee shall reach a specific conclusion within four months from the date on which the complaint is received. Where the case is complex, where circumstances make it difficult to proceed, or during the winter or summer vacation, the processing period may be extended by two months, and the complainant and the respondent shall be notified accordingly.

Article 10 If the Committee determines upon review that a complaint is unsubstantiated, it shall notify the complainant and the respondent in writing of the outcome and the reasons therefor within ten days after the determination.

If the Committee determines upon review that a complaint is substantiated, it shall make recommendations on disciplinary action in accordance with applicable regulations; within ten days after the decision, it shall refer the review outcome, the disciplinary recommendations, the reasons, and other related matters to the respective employing unit for handling, and shall notify the complainant and the respondent in writing.

Article 11 The Committee shall handle cases falling under the subparagraphs of Article 3 in accordance with the following procedures:

1. The investigation panel shall notify the respondent to submit a written defense addressing the content of the complaint within two weeks after receipt of the notice. A respondent who fails to submit a defense within the specified period shall be deemed to have waived the right to do so.
2. Where necessary, the content of the complaint and the written defense may be sent to two or more scholars or experts in the relevant field for review.

   The identities of the reviewers and related personnel shall be kept confidential.

   Reviewers shall submit their review opinions within four weeks.
3. Whether the complaint is substantiated shall be determined on the basis of the review opinions and other materials; where necessary, the respondent may be notified to submit a further defense.
4. If a determination remains difficult, the respondent may be allowed to present an oral defense during the proceedings, or the matters requiring clarification may be listed and referred again to the original reviewers, scholars, or experts for review, to serve as a basis for determination.
5. An investigation report and proposed recommendations on the complaint shall be prepared and submitted to the Committee for review.
6. The Committee’s review outcome and disciplinary recommendations shall be referred to the respective employing unit for handling.

Article 12 Committee members, ad hoc members of the investigation panel, reviewers, and relevant administrative personnel shall recuse themselves if they have any of the following relationships with, or circumstances involving, the respondent:

1. Being a blood relative within the third degree of kinship.
2. Being a spouse or a relative by marriage within the third degree of kinship, or having formerly had such a relationship.
3. A teacher-student relationship.
4. An academic collaboration relationship.
5. Being an interested party.

6. Being required to recuse themselves under other laws and regulations.

Whether a relationship under Subparagraphs 3, 4, or 5 of the preceding paragraph exists may be determined by the Committee.

Article 13 Where the Committee has determined upon review that a case involves any of the circumstances specified in Article 3, it may, depending on the severity of the case, recommend one or more of the following disciplinary actions and refer the matter to the respective employing unit for handling:

1. Prohibition, for a specified period, from receiving salary step increases, holding concurrent positions or teaching part-time within or outside the University, and applying for any type of research award or subsidy.
2. Recovery of the research awards and subsidies related to the case, suspension of payments other than statutory salary, or recovery of statutory salary in accordance with the law.
3. Dismissal or non-renewal of appointment.

The employing unit shall notify the Committee of its resolution; where its resolution differs from the Committee's disciplinary recommendations, it shall state the reasons therefor.

Article 14 Where the original complainant or a third party files another complaint regarding a case that the Committee has determined upon review to be unsubstantiated, the complaint shall be submitted to the Committee for review. If, upon review, the new complaint is found to contain no specific new evidence, the Committee may reply directly to the complainant on the basis of its previous decision; if specific new evidence is presented, the Committee shall investigate and handle the case in accordance with these Regulations.

Article 15 Where faculty members, staff, or students of the University file complaints abusively, the Committee may, according to the status of the person concerned, refer the matter to the competent units for disciplinary action commensurate with the severity of the case.

Where persons outside the University file complaints abusively, the Committee may refer the matter to the agency or school to which such persons belong for handling.

In serious cases of abusive complaints, the name of the complainant shall be made public.

Article 16 Matters not covered in these Regulations shall be handled in accordance with the relevant regulations.

Article 17 These Regulations shall be issued and implemented upon approval by the Administrative Meeting.