

Directions Governing National Chung Hsing University Global Research & Industry Alliance Performance Appraisal and Management

Enacted at 413th Administrative Council on March 7, 2018

Enacted at 2nd School Fund Management Committee of Academic Year 2017 on April 16, 2018

Article 1 National Chung Hsing University specially formulates the Directions in order to establish a salary management system for the full-time employees of the Alliance and introduce a performance-oriented salary design to enhance the operational efficiency of human resources and ensure the external competitiveness of talents.

Article 2 The employees as mentioned in the Directions refer to all the full-time staff members of the Alliance contractually employed in accordance with the provisions of the Alliance Project in addition to the Director of the Center.

Article 3 The salary of the employees of the Alliance shall be handled according to the “Guidelines for Ministry of Science and Technology Subsidy to Global Research & Industry Alliance Project”. The CEO’s salary is negotiated and determined by the Alliance Promotion Committee in accordance with his individual Job tenure, experience and responsibilities upon the employment; the rest of the staff are determined by referring to the “Directions Governing National Chung Hsing University Global Research & Industry Alliance Project Personnel Employment and Payment of Remuneration” according to their education and work experience.

Article 4 Before entering into the employment contract, the CEO shall be clearly informed by the director of the Center of the work content and the performance goal of the year supposed to be achieved, which shall be stated in the contract to be the basis for the usual assessment and year-end performance appraisal. The remaining employees shall be clearly informed of the contents of their work and the annual performance by the director of the Center and the CEO, which shall be stated in the contract to be the basis for the usual assessment and year-end performance appraisal.

Article 5 The salary of the employees of the Alliance shall be kept confidential. The individual salary and bonus of the employees shall be linked to the performance objectives, handled according to the overall performance of the individual, and shall be sent to the Promotion Committee for review and approval. They are divided into two categories: business performance appraised personnel and administration appraised personnel. Those who performed well shall be given appropriate rewards.

- (1) The industrial liaison experts and full-time research staff (research fellow and associate research fellow) who are subject to performance appraisal are evaluated by their superiors according to their business performance, leadership and behavioral expression.
- (2) The administration appraised personnel (full-time assistants) serving for one year shall be evaluated by the supervisors taking into account their work status and performance.

Article 6 The Alliance implements the Management by Objectives Performance Appraisal System and usually logs in the work performance report. Performance includes work results (effectiveness), work innovation, teamwork, rewards and other projects, which are evaluated in June and December every year.

Article 7 The year-end assessment is conducted by the Center Director based on the performance report and the supervisory evaluation opinions and personal interview results filled in according to the employee's performance appraisal table. If necessary, the applicant may be requested to explain thereof and the performance of the examinee in the previous year is compared to determine the salary. After completing the year-end assessment, the Center Director shall submit the results of the year-end assessment to the Promotion Committee for approval and shall be handled pursuant to the resolution at the meeting.

If the employees of the Alliance fail to achieve 85% of the target for two consecutive halves of the year, they shall be deemed to be incompetent and need to leave the company automatically. If they refuse to leave office, the School will not renew the contract or shall terminate the contract.

Article 8 The Alliance shall report the performance of the previous year to the Alliance Promotion Group Meeting two weeks before the end of each implementation year as a reference for determining salary or awards. When there is a surplus in operating performance, some of the surplus may be set aside to be initially allocated to the employees as performance bonuses and salary adjustments. Performance bonuses will be issued once the annual revenue settlement exceeds the previous year's performance of NT\$10 million. The rate of distribution is as follows:

- (1) If the income settlement exceeds the performance of more than NT\$10 million in the current year, after deducting NT\$5 million, 5 percent shall be allocated as a performance bonus.
- (2) If the income settlement exceeds the performance of the current year of more than 15 million NTD, after deducting 5 million NTD, 6% will be allocated as a performance bonus.

Article 9 During the period of validity thereof, if the performance appraisal fails to meet the requirements, or work is ineffective or the performance of the obligation is not fulfilled, and fails to improve after the School's correction, it shall be deemed to constitute a breach of contract, which shall lead to a contract termination and dismissal.

Article 10 The Directions shall be implemented after the adoption of the Administrative Council and the School Fund Management Committee, and the same shall apply as to amendments hereto.

National Chung Hsing University Global Research & Industry Alliance Project Industrial Liaison
Expert Performance Appraisal Form

Appraisal Period			
Unit		Position	
Name		Salary	
Job Description			
Appraisal Dimensions	First-year Assessment Items		Results
Business Performance (70 points)	<input type="checkbox"/> Number of Alliance Member Achieved (Domestic): 10 <input type="checkbox"/> Number of Alliance Member Achieved (Abroad): 1 <input type="checkbox"/> Number of Startups: 2 <input type="checkbox"/> Amount of Academia-industry Collaboration and Technology Transfer: NT\$34,000,000 <input type="checkbox"/> Contribution from Premium of New Company Stocks: NT\$1,000,000		
Leadership (30 points)	Vision Plans (0-6 points)	Have a macro and long-term vision to plan the future goals and strategies for the organization	
	Task Arrangement (0-6 points)	Reasonably arrange the roles and positions of the subordinates, set work objectives and proper application of authority	
	Communication (0-6 points)	Organize internal and external affairs, develop cooperative relationships, and establish close ties within and outside the organization with relevant individuals or groups.	
	Representative of Organization (0-6 points)	Take the post of representatives of organizations when interacting with external groups. Can do its utmost to promote good relationships and commitment between organizations and external groups.	
	Boost Morale (0-6 points)	Reward and punish appropriately and timely guidance and assistance in helping the	

		subordinates have a high degree of job satisfaction	
Total			
Personal major specific merits and deeds			
Signature (Seal) of Center Director		Signature (Seal) of Project Manager	

Appendix-National Chung Hsing University Global Research & Industry Alliance
Performance Indicators for the Next Three Years

Income Item / Year	First Year	Second Year	Third Year	Remarks
Number of Domestic Membership /Contribution Fee	10/ 2,000,000	20/ 4,000,000	30/ 6,000,000	Number of Startups /NTD / Stock (NTD)
Number of Overseas Membership /Contribution Fee	1/ 1,000,000	2/ 2,000,000	3/ 3,000,000	Number of Startups /NTD / Stock (NTD)
Number of Startups / Premium	2/ 1,000,000 (Stock or Premium)	4/ 2,500,000 (Stock or Premium)	6/ 4,000,000 (Stock or Premium)	Number of Startups /NTD / Stock (NTD)
Manufacturer Service Fee Technology Transfer and Amount of Academia-industry Collaboration	34,000,000	48,000,000	68,000,000	First Year: 14,000,000 (Technology Transfer) 20,000,000 (Academia-industry Collaboration) Second Year: 18,000,000 (Technology Transfer) 30,000,000 (Academia-industry Collaboration) Third Year: 20,000,000 (Technology Transfer) 48,000,000 (Academia-industry Collaboration)
Alliance Direct Revenue	4,000,000	7,500,000	11,000,000	Membership Fee + Alliance Service Income (1 million, 1.5 million, 2 million)

15~20% Alliance Indirect Revenue(Academi a-industry+ technology transfer)	6,100,000	8,700,000	12,600,000	15% Technology Transfer 20% Academia-industry
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National Chung Hsing University Global Research & Industry Alliance Research Staff
Performance Evaluation Form

Appraisal Period:						
Unit		Position				
Name		Position Level				
Job Description						
Work Item/Specific Content			Achieving Rate (%)	Standard Points	Evaluation Results	
					CEO	Center Director
Objectives Performance Evaluation (70%)	Number of Alliance members recruited Semi-annually: _____			25		
	Semi-annual amount of industry-university cooperation project: NT\$ _____			35		
	Semi-annual project royalty (technical transfer, stock) income: NT\$ _____			30		
	Number of startups: _____			10		
	Total Points of Objectives Performance Evaluation				100	
Behavioral Expression Evaluation (30%)	Number of alliance clients recruited: _			30		
	Achieving rate of customer business survey analysis report			20		
	Achieving rate of customer business tracking report			20		
	Teamwork Status			20		
	Work Attitude			10		
	Total Points of Behavioral Expression Evaluation				100	

Total Points			
Average			
Personal major specific merits and deeds			
Signature (Seal) of CEO		Signature (Seal) of Center Director	

National Chung Hsing University Global Research & Industry Alliance Full-Time
Assistant Administration Evaluation Form

Appraisal Period:						
Unit		Position				
Name		Position Level				
Job Descriptions			Leave and dereliction of duty			
			Personal Leave	Time(s)	__ day(s) __ hour (s)	
			Sick Leave	Time(s)	__ day(s) __ hour (s)	
			Annual Leave	Time(s)	__ day(s) __ hour (s)	
			Late for Work	Time(s)		
			Leave Early	Time(s)	__ day(s) __ hour (s)	
			Dereliction of Duty	Time(s)	__ day(s) __ hour (s)	
Work Breakdown			Premium	Excellent	Fine	To be improved
Quality	Quantity and accuracy of the business					
Time Efficiency	Completion of the business within the deadline					
Method	Effective planning and execution of the business					
Aggressiveness	The degree of actively and spontaneously undertaking business					
Responsibility	Responsible attitude towards the business					
Diligence	Careful attitude, diligence and attendance					

Cooperation	Close cooperation with departmental staff and effective representation of colleagues					
Review	Caring for the ongoing review of the business					
Improvements	Improve the efficiency of the work and propose improvements					
Initial Decision	<input type="checkbox"/> Promotion <input type="checkbox"/> Salary at the original level <input type="checkbox"/> Renewal Rejected					
Signature (Seal) of Supervisor		Signature (Seal) of CEO		Signature (Seal) of Center Director		