

NATIONAL TAIWAN UNIVERSITY Faculty Evaluation Guidelines

October 15, 2022 Passed by the University Council at its 1st meeting, fall semester, Academic Year 2022–23

October 25, 2022 Promulgation of amended Articles 1 through 6, 8 through 15, 17, and 18 via NTU official letter Hsiao Chiao Tzu No. 1110083362

(Full amendment history at the end of this document)

Article 1 National Taiwan University (NTU or “the University”) formulates the NTU *Faculty Evaluation Guidelines* (“the Guidelines”) in accordance with Articles 19 through 21 of the *University Act* and Article 16 of the *Teachers’ Act* in order to evaluate faculty performance in teaching, research, and services.

Article 2 All paid full-time NTU faculty members shall be evaluated with respect to teaching, research, and services. Whether unpaid full-time NTU faculty members are evaluated is to be determined by their respective colleges.

Colleges referred to herein shall include all NTU colleges and the NTU Center for General Education.

Article 3 Evaluation schedules for faculty members of all ranks are as follows:

1. Instructors: those appointed by January 9, 1998 (inclusive) shall be evaluated by their college every five years (or less); those appointed after January 10, 1998 (inclusive) shall be subject to a first-time evaluation by their college within their third to fifth year of service. Instructors who pass the first-time evaluation shall subsequently be evaluated by their college every three years (or less).
2. Assistant professors: those appointed before January 9, 1998 (inclusive) shall be evaluated by their college every five years (or less); those appointed between January 10, 1998 and July 31, 2016 (inclusive) shall be subject to a first-time evaluation by their college within their third to fifth year of service, and shall subsequently be evaluated by their college every three years (or less) upon passing the first-time evaluation; those appointed after August 1, 2016 (inclusive) shall be evaluated in accordance with Article 6 herein.
3. Associate and full professors shall be evaluated by their respective colleges every five years (or less).

In the event that a faculty member has been transferred from another academic program in the University to the current one, their current evaluation time frame shall take into consideration the time that they served in their previous academic program.

In the event that a faculty member at or below the rank of associate professor becomes eligible for promotion after taking into consideration the time they served in an external institution, said faculty member may undergo evaluation in advance upon the approval of their current academic program.

In the event that a faculty member's promotion has been approved, their next evaluation time frame shall start from the same semester in which their

promotion is approved.

Should respective colleges have stricter regulations governing the matters prescribed in Paragraphs 1 through 4 of this Article, said collegiate regulations shall prevail.

Article 4 Faculty members may only put forth their request for promotion after passing the evaluation. However, assistant professors appointed after August 1, 2016 (inclusive) shall be evaluated in accordance with the provisions stipulated in Article 6.

Assistant professors appointed before July 31, 2016 (inclusive) who fail to receive an academic promotion after eight or more years of service shall be deemed to have failed the re-evaluation, and shall be subject to the relevant regulations stipulated by their respective colleges.

Assistant professors' time frame for promotion shall exclude the time during which they have been granted a deferred evaluation or unpaid leave.

Article 5 In the event that a faculty member fails the evaluation, the college shall notify said faculty member, specify the reasons for their failure, and provide advice regarding their teaching, research, services, and performance. The college shall also facilitate the faculty member's affiliated department/graduate institute/degree program ("the academic program") in assisting the faculty member, who shall be re-evaluated by the college within two years (starting from the semester following the said failed evaluation). Faculty members who fail the re-evaluation shall be subject to non-renewal of appointment or severance in accordance with the resolution by the faculty evaluation committees at the college ("College Faculty Evaluation Committee") and university ("University Faculty Evaluation Committee") levels, as stipulated in the *University Act* and the *Teachers' Act*. However, assistant professors appointed after August 1, 2016 (inclusive) who fail the first evaluation shall be subject to the applicable provisions stipulated in Article 6.

In the event that a faculty member fails to be evaluated within the specified time frame, or if the documents for evaluation are found to be falsified in a way that affects the evaluation results, said faculty member shall be deemed to have failed the evaluation.

Article 6 Assistant professors appointed after August 1, 2016 (inclusive) shall be evaluated in accordance with the following provisions:

1. To facilitate assistant professors in academic promotion, colleges shall notify assistant professors in their third year of service to submit a written report of their progress in teaching, research, and services, which shall be reviewed by the faculty evaluation committee of their affiliated academic program.

The academic program's faculty evaluation committee shall then conduct a career assessment based on the report, provide specific advice, and then report to the College Faculty Evaluation Committee.

2. Colleges shall carry out faculty evaluation based on one of the following two schedules:

- 1) Faculty members who are approved for academic promotion in their fifth year of service are simultaneously deemed to have passed the faculty evaluation; those who fail to apply or be approved for promotion before the stipulated deadline shall be deemed to have failed the faculty evaluation. Faculty members who apply for promotion during or before their fourth year of service and who are granted the promotion shall be subject to the provisions stipulated in Article 3, Paragraph 4 herein. In the event that the promotion is not approved, the promotion application shall not count towards an evaluation.
- 2) Faculty members who are approved for academic promotion in their sixth year of service are simultaneously deemed to have passed the faculty evaluation; those who fail to apply or be approved for promotion before the stipulated deadline shall be deemed to have failed the faculty evaluation. Faculty members who apply for promotion during or before their fifth year of service and who are granted the promotion shall be subject to the provisions stipulated in Article 3, Paragraph 4 herein. In the event that the promotion is not approved, the promotion application shall not count towards an evaluation.
3. In the event that a faculty member fails the evaluation described in the previous subparagraphs, the faculty evaluation committees at all levels shall notify said faculty member, specify the reasons for their failure, and provide advice regarding their teaching, research, services, and performance. The faculty member's affiliated college shall also facilitate the relevant academic program in assisting the faculty member, who shall be re-evaluated in their seventh year of service. The faculty member shall apply for promotion during the re-evaluation, and shall be deemed to have passed the re-evaluation if the promotion is approved. In the event that the promotion is not approved or if the faculty member fails to apply for promotion within the stipulated time frame, they shall be deemed to have failed the re-evaluation.
4. Faculty members who apply for promotion in advance while waiting for the re-evaluation and who are granted the promotion shall be subject to the provisions stipulated in Article 3, Paragraph 4 herein. In the event that the promotion is not approved, the promotion application shall not count towards an evaluation.
5. Faculty members who fail the re-evaluation may not apply for promotion again, and shall be subject to non-renewal of appointment or severance in accordance with the resolution by the faculty evaluation committees of their college and the University, as stipulated in the *University Act* and the *Teachers' Act*.
6. Colleges shall submit the evaluation results along with relevant meeting minutes to the University for reference within one month after the results are determined.

Should respective colleges have stricter regulations governing the matters prescribed in Subparagraphs 1 through 4 of the preceding Paragraph, said collegiate regulations shall prevail.

Article 7 All faculty members who have any objection to their evaluation results may file a grievance to the NTU Faculty Member Grievances Committee or file an appeal to the Ministry of Education within 30 days starting from the day after the receipt of their evaluation results.

Article 8 Faculty members who fail their most recent evaluation may not apply for associate professor's or professor's sabbatical, and, starting from the following academic year, shall be ineligible for salary raise, off-campus part-time positions, part-time teaching, and temporary transfers; in addition, they may not extend their service, serve on NTU faculty evaluation committees at any level, or as the head of any administrative or academic unit at the University.

Upon passing the re-evaluation, faculty members shall be allowed to take on a part-time position, teach part-time, or be transferred temporarily, and, starting from the following academic year, may be granted a salary raise. The restoration of other rights listed in the preceding paragraph shall be governed by the relevant regulations.

Article 9 The University shall establish the NTU Faculty Evaluation Exemption Eligibility Review Panel ("the Review Panel") in order to review faculty members' eligibility for evaluation exemption. The Review Panel shall comprise the Chair of the University Faculty Evaluation Committee, the Vice President for Academic Affairs, the respective deans of the University's colleges, and the Director of the Center for General Education. The Chair of the University Faculty Evaluation Committee shall serve as the convener of the Review Panel.

Upon completing the necessary reviews, the Review Panel shall refer the results to the Chair of the University Faculty Evaluation Committee for approval.

The NTU *Directives for the Establishment and Operation of the Faculty Evaluation Exemption Eligibility Review Panel* shall be separately formulated and implemented on the date of promulgation upon approval by the University's Administrative Meeting.

Article 10 Full professors who meet one of the following conditions and who intend to apply for evaluation exemption shall submit the relevant documents of proof to their affiliated academic program, which shall forward the documents to the collegiate evaluation panel or committee for review. After which, the college shall recommend the faculty member to the University to be exempt from evaluation.

1. Those who have been elected as an Academician of Academia Sinica.
2. Those who have been granted a Ministry of Education Academic Award or a National Chair Professorship.
3. Those who have assumed the position of Chair Professor at distinguished universities home or abroad, and whose position has been acknowledged by the University.
4. Those who have been appointed as a Distinguished Professor of the University.

5. Those who have received the NTU Outstanding Teaching Award 15 times (the receipt of one NTU Distinguished Teaching Award is deemed equivalent to five NTU Outstanding Teaching Awards; the receipt of one MOE National Teacher Award in General Education or a National Excellent Teacher Award is deemed equivalent to 10 NTU Outstanding Teaching Awards).
6. Those who have received the Outstanding Research Award by the National Science and Technology Council or its predecessor agencies, the Ministry of Science and Technology; and the National Science Council (collectively "NSTC") at least twice, and who have an excellent track record in teaching and service.
7. Those who have won awards granted by or undertaken projects funded by NSTC and other government agencies, with an accumulated score of at least 10 points after conversion, as well as an excellent track record in teaching and service.
8. Those who have an excellent track record in teaching, research, and service, and have received an international award of excellence comparable to those specified in Subparagraphs 1 through 6 above. Said achievements shall be reviewed and approved by the applicant's collegiate evaluation panel or committee before the request for evaluation exemption is forwarded to the Review Panel for deliberation.

Apart from meeting one of the conditions listed in the preceding Paragraph, faculty members applying for evaluation exemption shall be subject to a comprehensive examination of their teaching, research and service by their respective colleges. Colleges shall stipulate the examination criteria and weightage of each examined item in their respective faculty evaluation regulations.

The eligibility of the awards and projects described in Paragraph 1, Subparagraph 7 herein and their corresponding points after conversion shall be specified separately in the *NTU Directives for the Establishment and Operation of the Faculty Evaluation Exemption Eligibility Review Panel*.

- Article 11 In the event that a faculty member approved for evaluation exemption violates the *Teachers' Act* or fails to carry out the responsibilities stipulated in their Letter of Appointment, their affiliated academic program shall submit the relevant supporting documents to the collegiate evaluation panel or committee and the Review Panel for review, and then to the NTU President for approval, after which the faculty member's evaluation exemption eligibility shall be revoked.

Faculty members whose evaluation exemption eligibility is revoked shall be evaluated in the next academic year, and may not apply for evaluation exemption within the next three years (inclusive), starting from the semester following the revocation of their exemption eligibility.

- Article 12 Should a faculty member be granted unpaid leave, the leave period shall not count towards their stipulated evaluation time frame.

Faculty members undergoing childbirth or childcare for a toddler under the age of three during their stipulated evaluation time frame may apply for a

deferral of the evaluation by submitting supporting documents to their college and the University for approval. Upon approval by their college and the University, the evaluation may be deferred for one year starting from the semester in which the evaluation was scheduled to be conducted. However, a deferral on account of childcare for a toddler under the age of three may only be granted once.

Faculty members who encounter dire circumstances during their stipulated evaluation time frame may apply for a deferral of the evaluation by submitting supporting documents to their college and the University for approval. Upon approval by their college and the University, the evaluation may be deferred for one year starting from the semester in which the evaluation was scheduled to be conducted. A deferral on account of dire circumstances may be granted no more than twice within the same evaluation time frame.

Should respective colleges have stricter regulations governing the matters prescribed in Paragraphs 2 and 3 of this Article, said collegiate regulations shall prevail.

Article 13 Colleges shall formulate their respective faculty evaluation regulations in accordance with the Guidelines. The evaluation items, criteria and procedures for faculty members of each academic rank shall be prescribed therein. Said regulations shall be submitted to the University's Administrative Meeting for approval, and implemented on the date of promulgation.

Article 14 Assistant professors appointed from August 1, 2016 (inclusive) shall be evaluated in accordance with the provisions set forth in Article 6, while all other faculty members shall be evaluated within their stipulated evaluation time frames. The evaluation shall be completed by the end of April each year, following which the evaluation results and meeting minutes shall be submitted to the University for reference.

In the event that a college authorizes its academic programs to carry out faculty evaluation in accordance with collegiate faculty evaluation regulations, said academic programs shall, after the completion of the evaluation, submit the evaluation results to the college for review. The college shall then notify the evaluated faculty member of said results.

Colleges shall notify faculty members who have failed their evaluation of their right to file a grievance or appeal in accordance with the provisions stipulated in Article 7 herein.

Article 15 Regulations governing the evaluation of full-time specialists engaged for teaching at the University shall be separately formulated.

The evaluation of research personnel of all ranks in all research centers shall be undertaken by their respective top-level units. The Guidelines shall apply *mutatis mutandis* to such evaluations.

Article 16 Matters not addressed herein shall be subject to other applicable regulations.

Article 17 The Guidelines shall be passed by the University Council, and then implemented on the date of promulgation.

(Full Amendment History)

- January 10, 1998 Passed by the University Council at its 2nd meeting, fall semester, Academic Year 1997–98
- October 21, 2000 Passed by the University Council at its 1st meeting, fall semester, Academic Year 2000–01
- June 01, 2002 Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2001–02
- October 16, 2004 Passed by the University Council at its 1st meeting, fall semester, Academic Year 2004–05
- March 18, 2006 Passed by the University Council at its 1st meeting, spring semester, Academic Year 2005–06
- June 16, 2007 Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2006–07
- January 10, 2009 Passed by the University Council at its 2nd meeting, fall semester, Academic Year 2008–09
- February 17, 2009 Promulgated via NTU official letter Hsiao Chiao Tzu No. 0980006041
- October 16, 2010 Passed by the University Council at its 1st meeting, fall semester, Academic Year 2010–11
- October 29, 2010 Promulgated via NTU official letter Hsiao Chiao Tzu No. 0990046826
- October 15, 2011 Passed by the University Council at its 1st meeting, fall semester, Academic Year 2011–12
- March 01, 2012 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1010011124
- June 16, 2012 Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2011–12
- July 18, 2012 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1010053614
- October 13, 2012 Passed by the University Council at its 1st meeting, fall semester, Academic Year 2012–13
- October 18, 2012 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1010081632
- January 05, 2013 Passed by the University Council at its 2nd meeting, fall semester, Academic Year 2012–13
- January 16, 2013 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1020003681
- June 08, 2013 Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2012–13
- June 20, 2013 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1020045950
- June 14, 2014 Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2013–14
- June 25, 2014 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1030044295
- October 25, 2014 Passed by the University Council at its 1st meeting, fall semester, Academic Year 2014–15
- November 03, 2014 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1030082844
- January 10, 2015 Passed by the University Council at its 2nd meeting, fall semester, Academic Year 2014–15
- January 16, 2015 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1040003473
- June 06, 2015 Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2014–15
- June 16, 2015 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1040042022
- June 18, 2016 Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2015–16
- June 24, 2016 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1050048759
- January 05, 2019 Passed by the University Council at its 2nd meeting, fall semester, Academic Year 2018–19
- January 14, 2019 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1080003032
- January 04, 2020 Passed by the University Council at its 2nd meeting, fall semester, Academic Year 2019–20
- January 13, 2020 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1090002028
- June 13, 2020 Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2019–20
- July 21, 2020 Promulgated via NTU official letter Hsiao Chiao Tzu No. 1090059493

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