

Appendix I. National Taiwan University Guidelines for Evaluation of Teaching and Research Units

(The English version is provided for reference only. In case of any discrepancies between the English and Chinese versions, the Chinese version will prevail.)

National Taiwan University Guidelines for Evaluation of Teaching and Research Units

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- Article 1 National Taiwan University (hereinafter “NTU”) formulates NTU Guidelines for Evaluation of Teaching and Research Units (hereinafter “Guidelines”) to enhance the quality and standards of teaching and research, and to create a balance between overall and focal development objectives.
- Article 2 NTU units to be evaluated shall include Level 1 and Level 2 teaching and research units, such as colleges, departments (disciplines), graduate institutes, degree programs, research centers, NTU School of Professional Education and Continuing Studies, and NTU Center for General Education.
NTU Center for Teacher Education (affiliated with NTU Center for General Education) may formulate teacher education evaluation laws and be evaluated accordingly, for it is evaluated by the MOE teacher education evaluation.
- Article 3 The Oversight Committee of Evaluation of University, oversight committees of evaluation of colleges, and evaluation committees for units to be evaluated are established to carry out the evaluation.

Article 4 The Oversight Committee of Evaluation of University oversees the implementation of the evaluation and reviews appeals against the evaluation results. The Committee is made up of at least 7 members for a four-year term, including the President of NTU who also serves as convener, an Executive Vice President designated by the President (hereinafter “Executive Vice President”), the Vice President for Academic Affairs, the Vice President for Research and Development, and off-campus members selected by the President. Units and personnel appointed by the President are concurrently responsible for the planning and promotion of Committee affairs.

Deans of NTU colleges shall sit in on meetings convened by the Committee.

Members of the Committee shall have one of the following qualifications:

1. Academically prestigious macro thinker who once served as president, dean, executive head of the highest managing unit or an equivalent at a university.
2. Specialist in good professional standing in industry, who once served as division head or an equivalent and is familiar with campus affairs.

Article 5 An oversight committee of evaluation of college reviews, oversees and promotes evaluation affairs of the college and its affiliated teaching and research units. The dean serves as convener and recommends four to six re-electable members for a one-year term, including at least one off-campus member. Members of the committee are subject to approval by the Oversight Committee of Evaluation of University.

The preceding provision governing NTU colleges applies *mutatis mutandis* to NTU School of Professional Education and Continuing Studies, NTU Center for General Education, and Level 1 research centers. Under special circumstances, however, Level 1 research centers may be exempt from establishing an oversight committee of evaluation of college upon approval by the Oversight Committee of Evaluation of University.

Article 6 The principle of recusal due to conflicts of interest shall be abided by when members are selected for evaluation committees for units to be evaluated. Such a committee shall be made up of five to nine members, including at least one international member. All of the members shall be selected from off-campus experts, scholars and industry representatives having one of the qualifications as follows:

1. Associate (or higher) professor whose expertise is relevant to the academic field of the unit to be evaluated and who once served as dean, head of a department/institute/degree program, or an equivalent.
2. Specialist in good professional standing in industry, whose expertise is relevant to the academic field of the unit to be evaluated and who once served as division head or an equivalent.

Evaluators for Level 1 research centers are nominated by the Executive Vice President, evaluators for Level 1 teaching units are nominated by the Vice President for Academic Affairs, and evaluators for Level 2 units are nominated by competent heads of their Level 1 units. After units to be evaluated are notified of their respective nominees, the name lists are submitted for approval by the Oversight Committee of Evaluation of University, which appoints an evaluator as convener, respectively. The evaluators serve a one-year term.

One of the following conditions shall disqualify an evaluator:

1. S/he was employed by the unit to be evaluated on full-time or adjunct basis over the past five years.
2. S/he applied for a job as a full-time or adjunct teacher at the unit to be evaluated over the past five years.
3. S/he obtained her/his highest academic degree/certificate from the unit to be evaluated less than ten years ago.
4. Her/his spouse or a third-degree blood relative works as either a faculty member or a staff member or studies at the unit to be evaluated.
5. S/he takes a paid or unpaid job at the unit to be evaluated and is an interested party.
6. S/he had any form of business interest with the unit to be evaluated over the past five years.

Article 7 Units under evaluation may invite such stakeholders as teachers, students, alumni or employers of graduates to participate in evaluation affairs related thereto or ask for their opinions, and may selectively establish a task force to undertake evaluation-related work.

Article 8 NTU shall organize workshops on evaluation, and the evaluation staff shall participate in on-campus or domestic/overseas workshops to enhance their knowledge and skills on evaluation.

Article 9 NTU units are evaluated every five years. However, a unit which has passed the evaluation by a domestic or overseas professional evaluation agency recognized by the Ministry of Education or by other internationally renowned professional accreditation agencies may defer, upon approval by the Oversight Committee of Evaluation of University, its evaluation based on the valid period of such accreditation.

A unit intended to apply for an early or deferred evaluation shall submit a statement of reasons along with supporting materials to the Oversight Committee of Evaluation

of University for review. The early or deferred evaluation is allowed only upon approval.

Article 10 For teaching units, items to be evaluated include educational objectives, discipline plans and development orientations, faculty and administrative human resources, learning resources (including book collections, facilities, space and funding, international exchanges, and domestic/overseas scholarly activities), courses (including service learning courses) and student counseling, teaching and research outcomes, services and promotion, students' learning outcomes, tracking mechanism for graduates' career development, suggestions received during the previous evaluation, and subsequent self-improvement outcomes.

For research units, items to be evaluated include research objectives and development orientations, human resources, research resources (including book collections, facilities, space and funding, international exchanges, and domestic/overseas scholarly activities), research outcomes, services and promotion, suggestions received during the previous evaluation, and subsequent self-improvement outcomes.

Article 11 Evaluation procedures include as follows:

1. Prior to July 31 of each calendar year, NTU shall put forward an evaluation plan for the next academic year and notify the units to be evaluated. The announced plan serves as basis for the evaluation to be undertaken during the incoming academic year.
2. Each unit to be evaluated shall establish its own evaluation committee prior to December 31 as per the name list of recommended evaluators approved by the Oversight Committee of Evaluation of University.
3. Each unit under evaluation shall complete its self-evaluation report, which shall conform to the format stipulated by NTU and strike a balance between quality and quantity, prior to May 31 of the next calendar year. The self-evaluation report shall be submitted for review first by the college and thereafter by the evaluation committee, which shall provide preliminary remarks one week before the site visit. Self-evaluation reports of colleges and Level 1 research centers are respectively reviewed by the Vice President for Academic Affairs and the Executive Vice President.
4. Each unit under evaluation shall complete the site visit prior to June 30 of the next calendar year, and respond to the evaluators' preliminary remarks prior to the first day of the site visit.
5. The site visit by evaluators shall include the steps as follows: listening to briefings by competent heads and units under evaluation; checking and reviewing materials;

inspecting sites and facilities; paying teaching and research visits; talking with teachers, students or researchers and administrative staff members; exchanging opinions among evaluators and drafting a preliminary evaluation report based on an overall consideration of advantages and disadvantages; and holding a discussion session with competent administrative heads before completing the site visit and leaving NTU to present an oral summary of their first draft of the evaluation report.

6. Evaluators shall present a detailed final evaluation report within thirty days after the completion of the site visit.
7. Each unit under evaluation shall respond to evaluators' suggestions by putting forward specific solutions and a timetable for improvement within thirty days after the evaluators present their final report.
8. Each unit under evaluation shall complete its report on improvement and submit it to the competent unit for review and approval within one year after the completion of the site visit.

Article 12 Each unit under evaluation shall handle the evaluation-related documents, including the self-evaluation report, the final evaluation report, measures in response to evaluators' suggestions and the timetable for improvement, and the report on improvement, in accordance with the requirements as below:

1. The self-evaluation report shall be concurrently submitted for review by the President, the Executive Vice President, the Vice President for Academic Affairs, and the Vice President for Research and Development.
2. The final evaluation report shall be submitted to the oversight committee of evaluation of the college for approval and recordation.
3. Measures in response to evaluators' suggestions and the timetable for improvement as well as the report on improvement shall be first submitted to the oversight committee of evaluation of the college for formality and substantive content review. The unit under evaluation may be required to make additions or revisions when necessary. The reviewed documents shall then be submitted to the President/(Executive) Vice Presidents and the Oversight Committee of Evaluation of University for approval and recordation.

For Level 1 research centers exempt from establishing oversight committees of evaluation of colleges, the final evaluation reports are submitted to the Executive Vice President for approval and recordation; their measures in response to evaluators' suggestions and timetables for improvement as well as reports on improvement are first submitted to the Executive Vice President for review and thereafter to the Oversight Committee of Evaluation of University for approval and recordation.

Article 13 Evaluation of a college shall be undertaken after all subordinate units complete their evaluation. A college shall undergo comprehensive evaluation with respect to its long- and mid-term development plans and implementation outcomes, evaluation results of all subordinate units, alignment of teaching/research to development orientations, and so forth. The evaluation procedures shall be jointly determined by the dean and the evaluation committee for the college.

Article 14 The evaluation results are ranked in three categories: Pass, Conditional Pass, and Fail. A unit in the rank of “Pass” shall submit its measures in response to evaluators’ suggestions and timetable for improvement as well as the report on improvement in accordance with Article 12 of the Guidelines.

A unit in the rank of “Conditional Pass” must undergo follow-up evaluation in the next year, which is limited to the problems and shortcomings raised in the final evaluation report. The valid period of evaluation is thereby shortened to the remaining time of the instant evaluation cycle, starting after the unit finally passes the evaluation.

A unit in the rank of “Fail” must undergo re-evaluation in the next year, which covers all of the evaluated items. The valid period of evaluation is thereby shortened to the remaining time of the instant evaluation cycle, starting after the unit finally passes the evaluation.

Article 15 Evaluated units in the ranks of “Conditional Pass” or “Fail” may file an appeal within fourteen days after the day following the receipt of the evaluation results on one of the following grounds:

1. The evaluators violated the regulated procedures of the site visit.
2. The data, materials and other written records in the final evaluation report are inconsistent with actual situations of the unit under evaluation, rendering the final evaluation report inconsistent with facts.

To file an appeal against the evaluation results, the evaluated units shall fill in out an appeal form and submit it along with supporting materials to the Office of Academic Affairs within the prescribed period of time. Any appeal filed after the deadline will not be accepted. Each evaluated unit has only one chance of appeal.

After receiving an appeal, the Office of Academic Affairs shall forward the appeal form and supporting materials to the original evaluation committee for review and then notify the evaluated unit of the reply and explanations from the evaluators. In the event of further disagreement, the evaluated unit shall file with the Office of Academic Affairs a request for referring its appeal to the Oversight Committee of Evaluation of University within fourteen days after the day following the receipt of

the reply and explanations from the evaluators. The Office of Academic Affairs will notify the appellant of the final review result.

The Oversight Committee of Evaluation of University may invite the appellant to the review session to give a statement.

Article 16 Units to be evaluated may apply for joint evaluation due to relevance between disciplines and similarities between teaching/research fields. The application is subject to approval by the Oversight Committee of Evaluation of University.

However, the joint evaluation committee shall provide respective evaluation results for units under joint evaluation.

Article 17 The evaluation results may, apart from serving as basis for self-improvement of the evaluated units, be used by NTU and its colleges as a reference for adjusting resource allocation, revising long- and mid-term plans, and determining the establishment, modification, merger and close of units.

Article 18 Units under evaluation shall compile and store all information related to the evaluation, including meeting minutes, self-evaluation reports, evaluation results, subsequent responses, and reports on improvement. Such information shall be made public timely and appropriately for stakeholders' reference during different phases of the evaluation.

Article 19 Expenditures incurred from the evaluation are borne by NTU and its units at different levels.

Article 20 Matters not covered herein shall be governed by applicable NTU regulations.

Article 21 The Guidelines shall come into effect on the date of promulgation after being approved at Administrative Meeting.