

[Promulgated on June 30, 2023]

NATIONAL TAIWAN UNIVERSITY

Regulations for Evaluation of Teaching and Research Units

June 20, 2023 Passed by the 3,148th Administrative Meeting

June 30, 2023 Promulgation of amended Articles 1, 4 through 6, 11 through 16, and 18

[Full amendment history at the end of this document]

- Article 1 National Taiwan University (NTU or “the University”) formulates the *NTU Regulations for Evaluation of Teaching and Research Units* (“the Regulations”) 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 top and second teaching and research units, such as colleges, departments, graduate institutes, degree programs, research centers, School of Professional Education and Continuing Studies, and the Center for General Education.
- The Center for Teacher Education, which is affiliated the Center for General Education and subject to the Ministry of Education’s (MOE) teacher education evaluation, may formulate specific regulations for conducting evaluations at the University.
- Article 3 To conduct the evaluation of teaching and research units, the University has formed the University Evaluation Oversight Committee, College Evaluation Oversight Committees, and Evaluation Committees for each unit to be evaluated.
- Article 4 The University Evaluation Oversight Committee shall be responsible for overseeing the implementation of the evaluation of teaching and research units and conducting the review of appeals against evaluation results.
- The University Evaluation Oversight Committee shall be composed of the President, an Executive Vice President designated by the President (“the Executive Vice President”), the Vice President of Academic Affairs, the Vice President of Research and Development, and at least seven external members appointed by the President. Committee members serve a four-year term but may serve consecutive terms. The President serves as the convener. If a vacancy occurs among the appointed members during their term, the President shall appoint a new external member to only fill the remaining term.
- The units and personnel assigned by the President shall handle the planning and promotion of matters related to the University Evaluation Oversight Committee for University Evaluation.
- The Deans of each college, the Dean of the School of Professional Education

and Continuing Studies, the Dean of the Graduate School of Advanced Technology, the Director of the Center for General Education, and the Deans of other functional college shall attend the meetings of the University Evaluation Oversight Committee.

The appointed members of the University Evaluation Oversight Committee shall meet one of the following qualifications:

1. Possess academic prestige and broad vision who once served as a university president, college dean, unit head of the highest administrative unit or an equivalent position.
2. Specialist in good professional standing in industry, who once served as a division head or an equivalent position and is familiar with university affairs.

Article 5 The College Evaluation Oversight Committee shall be responsible for reviewing, supervising, and promoting matters related to the evaluation of colleges and their affiliated teaching and research units.

The committee is convened by the Dean of the college, who recommends four to six members, including at least one external member. The committee members serve a one-year term but may serve consecutive terms. The constitution of the committee is subject to approval by the University Evaluation Oversight Committee.

If a vacancy occurs among the recommended members during their term, the Dean of the college shall recommend a new member in accordance with the preceding paragraph. The member shall be appointed upon the approval of the Executive Vice President to only fill the remaining term.

The School of Professional Education and Continuing Studies, the Graduate School of Advanced Technology, the Center for General Education, other functional colleges, and top research centers shall be handled, *mutatis mutandis*, as colleges. However, top research centers with special circumstances may be exempted from establishing an College Evaluation Oversight Committee upon review and approval by the University Evaluation Oversight Committee.

Article 6 Members of the Evaluation Committees for each unit under evaluation should be appointed in accordance with the principles of conflict of interest avoidance. The committee shall consist of five to nine external experts, scholars and industry representatives who meet at least one of the following qualifications, and include at least one international member:

1. An associate professor or above whose expertise is relevant to the academic field of the unit under evaluation and who once served as a dean, a head of an academic or degree program, or an equivalent position.

2. A specialist whose expertise is relevant to the academic field of the unit under evaluation and who possesses professional reputation and once served as a department head or an equivalent position.

The evaluation committee members for top research centers shall be nominated by the Executive Vice President. The evaluation committee members for top teaching units shall be nominated by the Vice President of Academic Affairs. The evaluation committee members for second units shall be nominated by competent heads of their top units.

The evaluation committee members in the preceding paragraph shall serve a one-year term after the nomination lists are submitted to and approved by the University Evaluation Oversight Committee.

The convener of the Evaluation Committee for the unit under evaluation shall be appointed by the University Evaluation Oversight Committee from among the members of the Evaluation Committee.

Individuals with any of the following circumstances are ineligible for appointment as members of the Evaluation Committee for the unit under evaluation:

1. Those who have held a full-time or part-time position at the unit within the past five years.
2. Those who have applied for a full-time or part-time teaching position at the unit within the past five years.
3. Those whose highest academic degree/certificate obtained from the unit and who graduated less than ten years ago.
4. Those whose spouse or a relative within the third degree of lineal kinship serves as either a faculty member, a staff member or a student at the unit.
5. Those who hold a paid or unpaid position at the unit and have a conflict of interest.
6. Those who have engaged in any form of commercial interest with the unit within the past five years.

Article 7 Units under evaluation may invite stakeholders such as teachers, students, alumni or employers of graduates to participate in evaluation affairs or seek their opinions, and may establish a task force as needed to perform evaluation-related tasks.

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

Article 9 As a general principle, each unit shall be evaluated on five-year basis. However, a unit which has passed the evaluation of a domestic or overseas professional evaluation agency recognized by MOE or by other

internationally renowned professional accreditation agencies may upon approval by the University Evaluation Oversight Committee, defer 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 University Evaluation Oversight Committee 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 books, equipment, facilities and financial resources, international exchanges, and domestic/overseas academic activities), courses (including service learning courses) and student counseling, teaching and research outcomes, services and promotion, students' learning outcomes, tracking mechanism for alumni 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 books, equipment, facilities and financial resources, international exchanges, and domestic/overseas academic activities), research outcomes, services and promotion, suggestions received during the previous evaluation, and subsequent self-improvement outcomes.

Article 11 The evaluation procedures for each unit under evaluation are as follows:

1. The University shall submit the evaluation plan for the next academic year by July 31st of each year as the basis for conducting the evaluation tasks, and promptly notify the units to be evaluated.
2. Each unit shall establish its own evaluation committee prior to December 31st of the same calendar year based on the name list of recommended evaluation committee members approved by the University Evaluation Oversight Committee.
3. Each unit shall complete its Self-Evaluation Report, which shall conform to the format stipulated by the University and strike a balance between quality and quantity, no later than thirty days prior to the on-site evaluation (hereinafter, the site visit). The Self-Evaluation Report shall be submitted for review by the respective college of the unit and thereafter by the evaluation committee, which shall provide preliminary remarks one week prior to the site visit. Self-Evaluation Reports of colleges and top research centers shall be respectively reviewed by the Vice President for Academic Affairs and the Executive Vice President.

4. Each unit shall complete the site visit prior to June 30th of the next calendar year, and respond to the evaluation committee members' preliminary remarks no later than the first day of the site visit.
5. The site visit by evaluation committee members 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 faculty, students or researchers and administrative staff members; exchanging opinions among evaluation committee members and drafting a preliminary evaluation report based on an overall consideration of advantages and disadvantages. Before completing the site visit and leaving the University, a discussion session with competent administrative heads shall be held to present an oral summary of their first draft of the evaluation report.
6. Evaluation committee members shall present a detailed final evaluation report within thirty days after the completion of the site visit.
7. The unit shall conduct a review of matters related to the evaluation for improvement, and keep written records for verification after the completion of the site visit.
8. Each unit shall propose the Review Comments and Improvement Plans within thirty days after the evaluation committee members submit the Final Evaluation Report.
9. Each unit shall complete its Final Report on Improvement Measures Taken and submit it to the competent college for review and approval within one year after the completion of the site visit. The Final Report on Improvement Measures Taken of colleges and top research centers shall be reviewed by the Vice President for Academic Affairs and the Executive Vice President.

In the event that any unit under evaluation encounters special circumstances that impede them from completing the tasks within the deadline as stipulated in each subparagraph in the preceding paragraph, they shall duly substantiate the reasons and notify the University. The reasons for the delay shall be included in the internal review of the unit for improvement.

Article 12 Each unit under evaluation shall handle the evaluation-related documents, including the Self-Evaluation Report, the Final Evaluation Report, the Review Comments and Improvement Plans, and the Final Report on Improvement Measures Taken, 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 College Evaluation Oversight Committee for reference.
3. The Review Comments and Improvement Plans as well as the Final Report on Improvement Measures Taken shall be first submitted to the College Evaluation Oversight Committee for formality and substantive content review. The evaluated unit 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 University Evaluation Oversight Committee for reference.

For top research centers exempting from establishing a College Evaluation Oversight Committee, the Final Evaluation Report shall be submitted to the Executive Vice President for reference; the Review Comments and Improvement Plans as well as the Final Report on Improvement Measures Taken shall be first submitted to the Executive Vice President for review and thereafter to the University Evaluation Oversight Committee for reference.

Article 13 Colleges and their affiliated research centers shall, as a principle, conduct joint evaluations after other units within the college complete their evaluation. The following items shall be subject to comprehensive evaluation: the college's medium and long-term development plans and their implementation results, the evaluation results of each unit within the college, and the alignment of teaching, research, and development directions.

Article 14 The evaluation results are ranked in three categories: Pass, Conditional Pass, and Fail.

For results that “Pass,” the evaluated unit shall submit its Review Comments and Improvement Plans as well as the Final Report on Improvement Measures Taken, in accordance with Article 11 and 12.

For results that “Conditional Pass,” a follow-up evaluation is required in the next calendar year, focusing on the shortcomings and recommendations identified in the Final Evaluation Report. The valid period of the follow-up evaluation extends from its approval to the remaining duration of the evaluation cycle.

For results that “Fail,” a re-evaluation is required in the next calendar year, covering all of the evaluated items. The valid period of the re-evaluation extends from its approval to the remaining duration of the evaluation cycle.

Article 15 Evaluated units in the ranks of “Conditional Pass” or “Fail” may file an appeal within 14 days after the day following the receipt of the evaluation

results on one of the following grounds:

1. The site visit process was conducted in violation of the proper procedures.
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 evaluation committee members.

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 University Evaluation Oversight Committee for review within 14 days after the day following the receipt of the reply and explanations from the evaluation committee members. The Office of Academic Affairs shall notify the appellant of the final review result.

The University Evaluation Oversight Committee 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 University Evaluation Oversight Committee. However, the joint evaluation committee shall provide respective evaluation results for units under joint evaluation.

The evaluation procedure of units approved for joint evaluation shall be conducted in a manner similar to that of a single unit under evaluation, except for the following circumstances:

1. The site visit shall be conducted for a minimum of two days.
2. The number of evaluation committee members may be increased after approval by the University Evaluation Oversight Committee and is not subject to the restrictions in Article 6.
3. Each unit may jointly or separately complete its Self-Evaluation Report, but it shall separately complete the Final Evaluation Report, the Review Comments and Improvement Plans as well as the Final Report on Improvement Measures Taken.
4. All units shall jointly designate a unit as the responsible unit, and the

- college with which the responsible unit is affiliated shall be their top unit.
- Article 17 The evaluation results, in addition to serving as basis for self-improvement of the evaluated units, also be used by the University and its colleges as a reference for adjusting resource allocation, revising medium and long-term plans, and determining the establishment, modification, merger and closure of units.
- Article 18 All evaluated units shall compile and store all information related to the evaluation, including meeting minutes, Self-Evaluation Reports, evaluation results, and the Final Reports on Improvement Measures Taken. Such information shall be made public timely and appropriately for stakeholders' reference.
- Article 19 Expenditures incurred from the evaluation shall be borne by the University and its units at different levels.
- Article 20 Matters not addressed herein shall be subject to other applicable regulations of the University.
- Article 21 The Regulations shall be passed by the Administrative Meeting and implemented on the date of promulgation.

[Full amendment history]

June 07, 1997	Passed by the University Council at its 2nd meeting, spring semester, Academic Year 1996-1997
June 10, 2006	Passed by the University Council at its 2nd meeting, spring semester, Academic Year 2005-2006
October 13, 2012	Passed by the University Council at its 1st meeting, fall semester, Academic Year 2012-2013
January 22, 2013	Passed by the 2,747th Administrative Meeting
June 09, 2015	Passed by the 2,862nd Administrative Meeting
December 22, 2015	Passed by the 2,886th Administrative Meeting
January 03, 2017	Passed by the 2,933rd Administrative Meeting
August 29, 2017	Passed by the 2,961st Administrative Meeting
July 10, 2018	Passed by the 3,003rd Administrative Meeting
February 19, 2019	Passed by the 3,030th Administrative Meeting
June 25, 2019	Passed by the 3,044th Administrative Meeting
October 01, 2019	Passed by the 3,052nd Administrative Meeting
June 23, 2020	Passed by the 3,071st Administrative Meeting