

# National Taiwan Normal University

## Graduate Institute of Social Work

### Guidelines for Faculty Evaluation

2005.12.5 Resolution passed during the 209<sup>th</sup> University Faculty Evaluation Committee Meeting

2009.9.21 Amendment passed during the Institute Affairs Meeting

2009.10.28 Resolution passed during the 238<sup>th</sup> University Faculty Evaluation Committee Meeting

2012.5.7 Amendment passed during the Institute Affairs Meeting

2005.9.7 Amendment passed during the Institute Affairs Meeting

2015.9.18 Amendment passed during the College Faculty Evaluation Committee Meeting

2015.9.30 Submission for future reference approved at the 280<sup>th</sup> University Faculty Evaluation Committee Meeting

2017.1.16 Amendment passed during the 5<sup>th</sup> Institute Affairs Meeting of the 2016 Academic Year

2017.1.20 Amendment passed at the College Faculty Evaluation Committee Meeting

2017.2.24 Submission for future reference approved at the 289<sup>th</sup> University Faculty Evaluation Committee Meeting

2018.3.5 Amendment passed during the 6<sup>th</sup> Institute Affairs Meeting of the 2017 Academic Year

2018.4.5 Passed during the 4th College Faculty Evaluation Meeting of the 2017 Academic Year

2018.5.16 Submission for future reference approved at the 298<sup>th</sup> University Faculty Evaluation Committee Meeting

2018.5.31 Approved and implemented by the University President through NTNU Graduate Institute of Social Work Official Document No. 1071014488

Article 1 The Graduate Institute of Social Work (the “Institute”) has established these *Guidelines for Faculty Evaluation* (the “Guidelines”) pursuant to the College of International Studies and Social Sciences’ (the “College”) *Faculty Evaluation Regulations*.

Article 2 The Institute’s Faculty Evaluation Committee shall be responsible for reviewing initial employment, renewals of employment, terms of employment, promotions, changes of employment, dismissals, non-renewals of employment, suspensions of employment, full-time faculty evaluations, long-term employment, reasons for severance, voluntary retirement, compulsory retirement of full-time faculty members, extensions of service, appointments of honorary professors, secondary evaluations of faculty members co-employed with the Academia Sinica or other universities, and other matters requiring official review in accordance with these Guidelines. Regarding the above matters, basic academic background and experience requirements, required forms, review procedures, and related restrictions on the concerned parties shall be processed in accordance with the University’s *Regulations for Faculty Evaluation* and other relevant regulations.

Article 3 Academic works as referred to in the Guidelines shall meet the following criteria:

- I. The works shall be the applicant’s original work, and must not be a compilation of others’ work created by re-organizing, adding and

deleting, combining, or re-arranging other works or other publications that do not represent research results.

- II. Except for doctoral dissertations, works must be reviewed and published monographs (or articles in monographs), academic articles published in an SCI, SSCI, TSSCI, EI, A&HCI, or **(2016) THCI journal (originally THCI Core)**, articles published on other reputable domestic or international academic or professional journals with single-anonymous or double-anonymous peer review systems acknowledged by each college of the University (e-journals that have a formal peer review process and are publicly available), articles that have been accepted for publication by a journal described above (in which case the applicant shall submit documentary evidence that the journal will be issued within a specified period), or articles that have undergone a formal peer-review process after presentation at a domestic and/or overseas conference and have been published and distributed in the form of a volume, CD, or online article.
- III. If a work is written in a language other than in Chinese, the applicant shall attach an abstract written in Chinese. When selecting reviewers, if it is not possible to find reviewers in Taiwan in an associated field who are proficient in the foreign language in which the work is written, the institute may request a complete translation of the work into either Chinese or English.
- IV. If the subject taught by the applicant is a foreign language, then the work shall be written in the language he/she teaches.

Article 4 Representative works must be related to the subject taught by the applicant.

Article 5 Those who submit their work for review in accordance with the Guidelines to apply for a Ministry of Education approved teaching certificate shall meet both the requirements stipulated in the College's and the University's *Faculty Evaluation Regulations* and the qualifications and criteria set forth by the Ministry of Education in the *Regulations Governing Accreditation of Teacher Qualifications at Junior Colleges and Institutions of Higher Education*.

Article 6 Qualifications and criteria for faculty members of the Institute are as follows:

- I. Generally, the Institute employs faculty members with a doctoral degree.
- II. The qualifications of newly-employed full-time faculty shall meet the requirements of the College in the *University's Regulations for the Qualification and Evaluation of Newly-employed Full-time Faculty Members*.
- III. Individuals with outstanding achievements who qualify under the *Regulations for the Recruitment of Chair Professors* may be employed as chair professors. The external review of publications (or works, exhibitions, proofs of achievement, technical reports, etc.) of newly-employed faculty, and the selection of reviewers and evaluation methods shall be handled in accordance with the *Regulations for Faculty*

*Promotion.*

- IV. Co-employment of faculty members shall be limited to faculty of universities or academic institutions with which NTNU has signed university-level cooperation agreements. Co-employed faculty members' qualifications and employment procedures shall be handled in accordance with the regulations for full-time faculty members. After passing a preliminary evaluation by the Institute's Faculty Evaluation Committee, the appointment proposal will be sent to the College Faculty Evaluation Committee for secondary evaluation, and then to the University Faculty Evaluation Committee for final evaluation. Appointments can only be made after the final evaluation is passed and the appointment approved by the President of the University. The employment renewal process of co-employed faculty members shall be handled in accordance with the regulations for part-time faculty members.

Article 7 The initial employment of full-time faculty members above the rank of assistant professor shall be processed as follows:

- I. After conducting a preliminary evaluation, the Institute will submit an appointment proposal for successful candidates to the College, which shall conduct an external review of the applicant's academic publications through the Office of Academic Affairs and Office of Human Resources. If the application passes the external review, it will be sent to the College Faculty Evaluation Committee for secondary evaluation and then to the University Faculty Evaluation Committee for final evaluation. Appointments can only be made after the final evaluation is passed and the appointment approved by the University President.
- II. If an applicant described in the preceding paragraph has been awarded a teaching certificate by the Ministry of Education at a level commensurate to the position offered, and meets the criteria for an NTNU chair professorship or research chair professorship as specified in the University's *Regulations Governing Faculty Member Incentives for Academic Excellence*, their academic publications shall be exempted from the requirement for external review. The publications of applicants who meet the above requirements, upon obtaining approval through administrative procedures, shall be submitted directly to the University Faculty Evaluation Committee for review. Applicants who meet the requirements for an NTNU chair professorship or research chair professorship yet have not been awarded a teaching certificate by the Ministry of Education at a level commensurate to the appointment must undergo approval in accordance with administrative procedures. The College shall then submit their academic publications to five external academics or experts for review before the application is submitted directly to the University Evaluation Committee for review and approval.
- III. External reviews of applicants seeking initial employment as full-time

faculty members shall be handled by the College in accordance with Article 5 of the University's *Faculty Evaluation Regulations*.

- IV. The Institute shall compile the following materials and send them to the College for secondary evaluation prior to the College Faculty Evaluation Committee's deadline for receiving submissions:
  - (I) The Full-time Faculty Member Appointment Proposal and relevant materials of applicants who have passed the preliminary evaluation conducted by the Institute.
  - (II) A photocopy of the records of the preliminary evaluation and the evaluation results indicating that the applicant meets the qualifications criteria stipulated in Article 1 of the University's *Regulations Governing the Qualifications and Evaluation of Newly Employed Full-time Faculty Members*.
  - (III) 4 copies of the list of externally reviewed publications with the representative work marked.
  - (IV) A list of 8 to 10 publication reviewers recommended by the Institute's Faculty Evaluation Committee.
- V. The qualifications required of reviewers who will review the publications of newly-employed faculty members shall be the same as those required of reviewers who review publications submitted for faculty promotion applications at the College.
- VI. When employing new full-time faculty members, the employment procedures shall be completed prior to the start of the employment period.

Article 8 Newly-employed full-time faculty at all levels appointed after August 1st, 2011 shall undergo a New Faculty Member Evaluation pursuant to the University's *Faculty Evaluation Regulations*.

Newly-employed full-time faculty who meet the requirements for promotion can apply for promotion starting from the semester following the semester in which they passed the employment renewal evaluation.

Starting on February 1, 2009, all new full-time associate professors, assistant professors, and lecturers who have not been promoted to a higher rank within 6 years of employment may have their employment renewed for 1 more year. If they still fail to be promoted, their employment will no longer be renewed. However, faculty members who experience serious adverse events or have taken parental leave, and female faculty members who are pregnant or have given birth may provide evidence to that effect to have their promotion deadline extended with approval by the Faculty Evaluation Committee at all 3 levels. The deadline may be extended for a maximum of 2 years each time.

Article 9 Non-renewals and long-term employment of full-time faculty must undergo deliberation by the Faculty Evaluation Committees at all 3 levels. If no determination of non-renewal of employment is made, the faculty member shall be approved for renewal of employment.

Article 10 The initial employment and renewal of employment of part-time faculty

members shall be handled as follows:

- I. For both initial employment and renewals of employment, the Institute's Faculty Evaluation Committee shall conduct the preliminary evaluation, then submit an appointment proposal for passing candidates via the Office of Academic Affairs and Office of Human Resources to the College Faculty Evaluation Committee for final evaluation. Appointments can only be made after the final evaluation is passed and the appointment approved by the University President.
- II. Principles for employment of part-time faculty:
  - (I) In principle, part-time faculty members shall be at the rank of associate professor or above for employment purposes.
  - (II) The age limit for part-time faculty shall be 70 years of age. Under certain circumstances, special approval can be granted after deliberation by all 3 levels of Faculty Evaluation Committees.
  - (III) Retired faculty who are re-employed as part-time faculty shall be included on the roster of the Institute's part-time faculty, excepting those who are not paid an hourly wage.
  - (IV) Part-time faculty are not allowed to teach compulsory subjects. Under certain circumstances, special approval can be granted on a project basis.
  - (V) If a part-time faculty member receives 3.5 points or less on 2 consecutive Office of Academic Affairs' Student Course Evaluation Surveys, they will not qualify for employment renewal and may not teach any courses.
- III. When employing part-time faculty members, the employment procedures shall be completed prior to the start of the employment period. When part-time faculty apply for a change of employment after obtaining a higher-level teaching certificate, the application shall undergo deliberation by all 3 levels of Faculty Evaluation Committees. The date the change of employment comes into effect shall be determined by the University Faculty Evaluation Committee.

Article 11 The qualifications, evaluation items, and scoring standards required for faculty promotion by the Institute in addition to those stipulated in the provisions of Chapter 3 (Promotions), Article 19 of the University's *Faculty Promotion Regulations* are as follows:

- I. Scoring items:
  - (I) Research: Academic publications must conform to Articles 12 and 13 of these Guidelines.
  - (II) Teaching:
    1. Teaching hours must meet the required minimum hours.
    2. Student Course Evaluation Survey
    3. Results of advising students' academic research
    4. Other teaching matters
  - (III) Service:

1. Contributions to department, institute, college, and university affairs.
  2. Concurrent service as a lead instructor/coach in school clubs, school press, or varsity teams.
  3. Counseling students on personal issues and job searches.
  4. Holding concurrent administrative positions at the University.
  5. Service in off-campus sports organizations or groups.
  6. Results in industry-academia cooperation initiatives.
  7. Other service items
- II. Evaluation items and passing criteria:
- (I) Research: Applicants who submit published academic works or technical reports for review shall have at least 4 reviewers rate them grade B or above.  
During the review, the Institute's Faculty Evaluation Committee will only consider whether the applicant's research meets the promotion qualifications stipulated by the College.
- (II) Teaching: applicants shall receive a score of 80 or above.
- (III) Service: applicants shall receive a score of 80 or above.
- III. Reviews of published works shall be handled in accordance with the relevant laws stipulated by the Ministry of Education:  
In the aforementioned external review of published works, scoring shall be based on a grade system consisting of 4 grades: A (Outstanding), B (Excellent), C (Fair), and D (Poor). The reviewers shall grade the applicant by comparing their research to other teachers of the same rank in the same academic field. The scores that correspond to each grade are as follows: A = 90+; B = 80-90; C = 70-80; D = 70 and under.
- IV. When reviewing the teaching and service evaluation items, the Institute may modify the details and scoring methods. Evaluation methods can include applicant self-evaluation, faculty peer evaluation, student evaluation, and administrative cooperation, etc.

Article 12 The published academic works submitted by faculty members applying for promotion shall meet the following criteria:

- I. The published works shall have been completed and published after the applicant qualified for their most recent rank. If the applicant has taught in an international institution as a full-time faculty member, any seniority acquired at the time shall qualify for promotion, and may be calculated cumulatively with the submitted academic works (or other works, performances, certificates of achievement, or technical reports).
- II. Representative works may not be part of a dissertation. However, if the applicant voluntarily provides an explanation, and the submission is determined by experts to possess a considerable degree of innovation, this stipulation shall not apply to those who have not submitted a dissertation for review or if the new work consists of an extension of the research conducted for the thesis.

- III. The representative work must not have been submitted for review previously as the applicant's representative work.
- IV. If the representative work is co-authored by multiple persons, only one person may submit it as their representative work. When submitting the work, the other authors must waive their rights to submit the paper as their representative work for review. The applicant shall specify in writing which parts of the work they participated in and shall obtain the co-authors' signatures as verification. However, the above stipulation shall not apply if any of the following criteria are met:
  - (I) The applicant is an academician of Academia Sinica who is exempt from submitting co-authors' signed certificates of co-authorship.
  - (II) If the applicant is the first or corresponding author, they shall be exempted from submitting the co-authors' signed certificates of co-authorship for foreign non-first authorships or non-corresponding authorships.

If a co-author is unable to provide a signed certificate of co-authorship, the applicant shall specify in writing their part in the study and the reason(s) for their inability to obtain the certificate of co-authorship. Upon approval by the University Faculty Evaluation Committee, the applicant shall be exempted from providing the signature.
- V. If the content of the representative work is similar to a representative work that has previously been submitted for a promotion review, the applicant shall also submit the previous representative work and provide a comparison of the similarities and differences between the two representative works.
- VI. If the applicant submits a journal article that is certified for publication at a set date in a domestic or foreign scholarly journal or trade journal as the representative work, the article should be published within one year of the date on which the journal issued its acceptance certificate, and the applicant shall submit the representative work to NTNU for checking and filing within two months after the work is published. If the article fails to be published within one year for reasons not attributable to the applicant, the applicant shall provide an explanation and the certified date of publication and apply for an extension prior to the publication deadline. At most, extensions shall be limited to three years from the date on which the journal issued its acceptance certificate. After the extension is approved by the Institute and College Faculty Evaluation Committees, it shall be submitted to the University Faculty Evaluation Committee for future reference.

Article 13 Faculty members of the Institute **shall meet one of the following requirements** for promotion:

- I. The applicant has published or is set to publish at least 3 works for which they are the only author, first author, or corresponding author, including:

(I) **Academic articles published in SCI, SSCI, TSSCI, EI, A&HCI, or (2016) THCI journals (originally THCI Core), or other journals approved by the College or other College Affairs Committees and submitted to the University Faculty Evaluation Committee for future reference.**

(II) Articles that have been through a formal peer-review process after presentation at a domestic and/or overseas conference, and have been published and distributed in the form of a volume or CD, or online.

(III) Formally published individual articles in monographs.

**II. 1 academic monograph as the only author or first author.**

**The applicant shall select one of the items mentioned above as their representative work. Publications that have been submitted for review as a representative work may not be submitted again as a representative work in another review. Publications shall have been completed and published after the applicant qualified for their most recent rank.**

Reviews of monographs (or articles in monographs or volumes published following a conference) listed in **Paragraph 1** shall be conducted by the following institutions, and reviews by 2 external reviewers of the publishing house and the certificate of publication shall be provided:

(I) Domestic or international university editorial committees with a review mechanism.

(II) Domestic or international academic research institution editorial committees with a review mechanism.

(III) Editorial committees of academic journals which accept monograph drafts for review proclaimed by the NSTC.

(IV) Joint editorial committees of domestic and international universities and research institutes which co-publish with each other or with a publishing house.

(V) Editorial committees of domestic or international publishing houses with a review mechanism approved by the NTNU colleges, with submission to the University Faculty Evaluation Committee for future reference.

Article 14 In addition to the provisions in Article 13 of the University's Faculty Evaluation Regulations, the methods and procedures for reviewing applications for faculty promotion shall be as follows:

I. By October/April 10 each year, the Institute shall submit the following information to the College for secondary evaluation based on the results of the preliminary evaluation:

(I) A roster of the names of and a list with the number of faculty members of the Institute who have applied for a promotion.

(II) A photocopy of the preliminary evaluation records.

(III) 6 copies of the list of published works submitted for faculty promotion with the representative work marked.



- (IV) Minutes of the Institute's Faculty Evaluation Committee meeting.
  - (V) Evaluation form, publication form, and a self-report on the applicant's teaching, research, and service (to the University, academia, and society) over the years.
  - (VI) A photocopy of the applicant's letter of appointment and teaching certificate.
  - (VII) A list of 8 to 10 external reviewers recommended by the Institute's Faculty Evaluation Committee.
- II. The dean of the College shall select 5 reviewers from the list of 8 to 10 reviewers recommended by the Institute's Faculty Evaluation Committee to review the published works submitted for faculty promotion. During the review, the applicant's name may be made public, but the reviewers names shall be kept confidential. Reviewers shall not be of a lower rank than the applicant. Spouses, third degree relatives and closer, relatives by marriage, thesis advisors, and others who have a personal or professional relationship with the applicant shall recuse themselves from reviewing the works of the applicant. If none of the reviewers recommended by the Institute can conduct a review, the Institute's Faculty Committee shall recommend new reviewers.
  - III. The College Faculty Promotion shall hold an evaluation meeting before the end of November/May each year. When necessary, relevant Institute personnel may be invited to attend and provide an explanation.
  - IV. Before December/June 10th of each academic year, the College shall make a copy of all materials and the Institute's preliminary evaluation records of the applicants who have passed the promotion evaluation and send them to the Office of Human Resources for compilation, and then submit the compiled materials for final evaluation by the University Faculty Evaluation Committee. In accordance with Article 16 of the *Regulations for the Establishment of Faculty Evaluation Committees*, the College shall notify the applicant and Institute in writing of the results of the College's secondary evaluation within 10 days of resolution.

Article 15 External reviews of faculty members (for the newly-employed and faculty promotions) shall be handled by the College in accordance with Article 15 of the College's *Faculty Evaluation Regulations*. Applicants may propose 1 to 2 persons by whom they do not wish to be reviewed to the College.

Article 16 Applications for degree promotion (change of employment) of full-time faculty members shall be handled in accordance with Chapter 3 (Promotions) Articles 19 and 19-1 of the University's *Faculty Evaluation Regulations*, and Chapter 3 (Promotions) of the College's *Faculty Evaluation Regulations* and other relevant regulations.

Article 17 If a member of the Institute's Faculty Evaluation Committee who is required to recuse themselves from participating in the evaluation pursuant to Article 12 of the *Regulations for the Establishment of Faculty Evaluation Committees* has not done so, the chairperson may require the member to

recuse themselves through a meeting resolution in order to ensure that the committee remains impartial and objective. Evaluations by members who participated without being aware that they should recuse themselves shall be considered invalid; however, other valid evaluations shall still be recorded in the evaluation results.

Members who are required to recuse themselves shall recuse themselves from the entire case proceedings, and they shall not be counted among the number of committee members present.

Article 18 Matters not addressed in these Guidelines shall be handled in accordance with the University's and the College's *Faculty Evaluation Regulations*, and other relevant regulations; if any questions are raised regarding the Guidelines, a College Affairs Meeting shall address the matter.

Article 19 After approval in the College Affairs Meeting, these Guidelines shall be sent to the College Faculty Evaluation Committee and then to the University Faculty Evaluation Committee for reference and submitted to the University President for approval and implementation. The same shall apply to any future amendments made hereto.