

National Taiwan Normal University

Graduate Institute of Social Work

Faculty Evaluation Guidelines

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- 2010.5.17 Amendment passed during the Institute Affairs Meeting
- 2010.6.15 Amendment passed during the Institute Affairs Meeting
- 2011.6.13 Amendment passed during the Institute Affairs Meeting
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Article 1 To improve the quality of teaching, research, service, and advising work of faculty members and to promote their professional growth, the Graduate Institute of Social Work (the “Institute”) has formulated these Faculty Evaluation Guidelines (the “Guidelines”) to carry out preliminary evaluations of faculty members based on the Institute’s *Regulations for Faculty Evaluations*.

Article 2 The Guidelines govern the evaluation of full-time faculty members of the Institute (including technical specialists).

Article 3 Evaluations shall assess faculty members’ work in 3 areas: teaching, research, and service and advising work. They shall include a self-evaluation, evaluations by fellow faculty members, student evaluations, and other forms of evaluation. The Institute’s Faculty Evaluation Committee shall conduct a preliminary evaluation, and the College of International Studies and Social Sciences (CISS) shall conduct

a secondary evaluation. Faculty members must pass the individual assessments in all 3 areas, namely teaching, research, and service and advising work to pass these evaluations.

Article 3-1 Full-time faculty at each level are required to take at least 3 hours of courses in academic ethics and integrity prior to the evaluation, and must provide proof of having taken such courses.

Article 4 Faculty evaluation items and passing standards are as follows:

I. Teaching: The average score on the Student Opinion of Instruction Survey for the evaluation period must be at least 3.5 points, **the teaching hour requirements must be met, and there must be no instances of a faculty member failing to fulfill their duties or competently perform their work (if deemed necessary, the faculty member being evaluated may be required to provide a written explanation).**

II. Research: Teachers' academic output and research projects shall meet the following requirements:

(I) Academic output shall be original in nature and comply with one of the following regulations:

1. Monographs or articles: Lecturers and assistant professors shall publish within three years, and associate professors and professors shall publish within five years, one book (maximum co-authorship of two individuals) or three articles in books that meet the review requirements of NTNU.

2. Journal articles published in journals: Assistant professors shall publish at least two articles in journals within three years, and associate professors and professors shall publish at least three articles in journals within five years. Such articles shall be published in SCI(E), SCI, SSCI, A&HCI, EI, EconLit, TSSCI, and the new THCI journals (originally THCI Core; changed in 2016) or **listed in SCOPUS**, or in other respected journals recognized by each college. **Assistant professors shall have one journal publication that ranks in the top 20% in SCI IF or in the top 50% in SSCI IF; associate professors and professors shall have 2 journal publications that meet the above-mentioned criteria. Articles archived in SCOPUS may be regarded as journal publications at a conversion rate of three publications for one publication in the preceding journals (recognition granted only if the faculty member is the main author or corresponding author).**

3. Other equivalent academic achievements not listed above: Academic output that is determined after review by the 3 levels of Faculty Evaluation Committees to be the equivalent of the above.

Assistant professors shall publish at least one individual article in a book or foreword in a journal publication, and associate professors and professors shall publish least two articles for which they are the

main author or corresponding author.

If the applicant is serving concurrently at two institutes, NTNU must be the first-named institute for the published article.

- (II) Research projects: Assistant professors shall serve as principle investigator on (co-investigator excluded) at least one research project outside of NTNU every three years; associate professors and professors shall host (co-investigator excluded) at least one research project outside of NTNU every five years. Research projects outside of NTNU shall be projects undertaken in the name of NTNU (including industry-academia collaboration projects). Service as principal investigator on a sub-project of an integrated project of the Ministry of Science and Technology (formerly known as the National Science Council) shall be regarded as hosting a research project.
- III. Service and advising: Over 80 points. Evaluation standards shall be established by the Institute.
 - (I) Service work at NTNU
 - (II) Service work outside of NTNU
 - (III) Life advising
 - (IV) Academic advising

Article 4-1 Academic output may be calculated cumulatively: One book published by over three individuals (inclusive) or one article in a book may be regarded as a journal publication.

The substitution standards for journal publications and research projects are as follows, and only one substitution may be made (only one can be selected) in an evaluation:

- I. Substitution for journal publications: A research project from the Ministry of Science and Technology (formerly known as the National Science Council) may be regarded as equivalent to one journal publication (recognition granted only if the faculty member is the principal investigator).
- II. Substitution for research projects:
 - (I) One instance of academic output (book/article/time) may be regarded as equivalent to one research project outside of NTNU, with the substitution being granted only if the faculty member is the main author or corresponding author of the book, individual article in a book, or journal publication.
 - (II) Faculty members who have made the following special contributions to NTNU within the evaluation period may be exempted from one research project outside of NTNU: developing and executing two University-level projects (such as Higher Education Sprout Projects or Teaching Excellence Projects).

Article 5 Full-time faculty of the Institute with over 25 years of seniority may choose to meet the regulations in Article 4 or accept evaluation in accordance with

the following regulations:

- I. Teaching: The average score on the Student Opinion of Instruction Survey for the evaluation period must be at least 3.5 points, **the teaching hour requirements must be met, and there must be no instances of a faculty member failing to fulfill their duties or competently perform their work (if deemed necessary, the faculty member being evaluated may be required to provide a written explanation).**
- II. Research: Academic output and research projects shall meet the following requirements:
 - (I) Academic output shall be original in nature and shall comply with one of the following regulations:
 1. Monographs or articles: Lecturers and assistant professors shall publish within three years, and associate professors and professors shall publish within five years, one book (maximum co-authorship of two individuals) or two articles in books that meet the review requirements of NTNU.
 2. Journal articles published in journals: Assistant professors shall publish at least one article in a journal within three years, and associate professors and professors shall publish at least two articles in journals within five years. The aforementioned articles shall be published on SCI(E), SCI, SSCI, A&HCI, EI, EconLit, TSSCI, and the new THCI journals (which was changed in 2016; originally THCI Core) or **listed in SCOPUS**, or in other respected journals recognized by each college. **Assistant professors shall have one journal publication that ranks in the top 20% in SCI IF or in the top 50% in SSCI IF; associate professors and professors shall have 2 journal publications that meet the above-mentioned criteria. Articles archived in SCOPUS may be regarded as journal publications at a conversion rate of three publications for one publication in the preceding journals (recognition granted only if the faculty member is the main author or corresponding author).**
 3. Other equivalent academic achievements not listed above: Academic output that is determined after review by the 3 levels of Faculty Evaluation Committees to be the equivalent of the above. One instance of **academic output (book/article/time) as mentioned above** may be calculated cumulatively in accordance with the substitution standards set out in Article 4-1. If the applicant is serving concurrently at two institutes, NTNU must be the first-named institute for the published article.
 - (II) Research projects: Assistant professors shall serve as principle investigator or co-investigator on at least one off-campus research project every three years; associate professors and professors shall serve as principle investigator or co-investigator on at least one off-campus research project every five years. The recognition and calculation of off-campus research projects shall be in accordance

with the standards set out in Articles 4 and 4-1.

- III. Service and advising: Over 80 points. Evaluation standards shall be the same as designated in Article 4.

Article 6 Results of evaluations of assistant professors shall be processed as follows:

- I. Assistant professors shall be evaluated by the Institute and the CISS every three years. Individuals who fail to pass the evaluation shall not be granted a salary increase, allowed to teach excess courses, or concurrently hold positions or teach courses both on- and off-campus (including in-service programs, schools of continuing education, and summer courses) starting from the following academic year. The Institute shall assist faculty members who do not pass the evaluation to propose an improvement plan for re-evaluation within two years. If the individual fails to pass the re-evaluation, the Institute shall submit a proposal to terminate or not renew his/her employment to the Faculty Evaluation Committees at all three levels.
- II. Faculty members may not submit another application for promotion if they did not pass the most recent evaluation. For purposes of evaluation, a semester shall be considered a unit, each evaluation shall be conducted three years after the semester in which the previous evaluation was conducted. Performance during the semester of the previous evaluation shall be included the next evaluation. If an assistant professor has been promoted, the evaluation schedule shall be reset to the effective date of the promotion. The evaluation results of assistant professors appointed prior to September 29, 1999 shall be processed in accordance with the provisions of Article 7 (Results of evaluation of associate professors and professors).

Article 7 Results of evaluation of associate professors and professors shall be processed as follows:

- I. Associate professors and professors shall be evaluated by the Institute every five years. Faculty members who do not pass the evaluation shall not be granted a salary increase, be allowed to teach excess courses, concurrently hold positions or teach courses both on- and off-campus (including in-service programs, schools of continuing education, and summer courses), or be allowed to transfer, apply for sabbatical leave, teach overseas, apply for retention without pay for research or study overseas, or serve as members of Faculty Evaluation Committees at NTNU or administrative/academic supervisors at NTNU starting from the academic year following the evaluation. Individuals who do not pass the evaluation shall apply for a re-evaluation within two years, and the preceding restrictions shall be removed in the academic year after the evaluation is passed.
- II. Faculty members may not submit another application for promotion if they do not pass the most recent evaluation. For purposes of evaluation, a

semester shall be considered a unit, each evaluation shall be conducted five years after the semester in which the previous evaluation was conducted. Performance during the semester of the previous evaluation shall be included the next evaluation. If an associate professor has been promoted, the evaluation schedule shall be reset to the effective date of their promotion. The Institute shall assist faculty members who do not pass the evaluation to propose an improvement plan for re-evaluation, and the improvement plan shall be submitted to the Faculty Evaluation Committees at all three levels for discussion. However, improvement plans are not required for those who did not pass the evaluation but will retire in the following semester.

Article 8 Starting on August 1, 2011, newly-appointed full-time faculty of each rank shall be required to pass an evaluation no later than the semester following the completion of their third year of service (the seventh semester). The evaluation standards shall be the same as the standards for assistant professors stipulated in Article 4. A first-time teacher's first evaluation shall include at least four semesters of Student Opinion of Instruction Surveys. Evaluations of non-first-time teachers (who have taught in other schools or served as NTNU project faculty) shall include at least two semesters of Student Opinion of Instruction Surveys.

Starting on February 1, 2016, newly appointed full-time faculty members of each rank shall participate in the Workshop for New Faculty Members organized by the Office of Academic Affairs within their first year of service in accordance with NTNU's *Guidelines on the Professional Development of Full-Time Faculty Members*. First-time faculty members must participate in peer observation and feedback organized by the Office of Academic Affairs and research counselling organized by the Office of Research and Development. If a newly appointed faculty member fails to participate for any reason, they must complete the courses in the following academic year to pass the evaluation for newly-appointed faculty required in Paragraph 1 of this Article.

New full-time faculty members of all ranks appointed after February 1, 2016 who serve in a department or institute with laboratory (internship) facilities, and those who have been assigned by a department/institute to take a training course from the NTNU Environmental Safety Center, shall complete the training course in accordance with the regulations of the aforementioned Center within the first year of service in order to pass the evaluation for newly-appointed faculty required in Paragraph 1 of this Article.

Faculty members who fail to pass the evaluation shall not be granted a salary increase, allowed to teach excess courses, or concurrently hold positions or teach courses both on- and off-campus (including in-service programs, schools of continuing education, and summer courses) starting from the academic year following the evaluation. The Institute shall assist

such faculty members to propose an improvement plan for re-evaluation within two years. If the faculty member fails the re-evaluation, the Institute shall submit a proposal not to renew his/her employment to the Faculty Evaluation Committees at all three levels for a resolution.

New full-time faculty of all ranks appointed after August 1, 2011 who meet the evaluation exemption requirements stipulated in Articles 9 to 11 herein may apply for exemption from evaluation in accordance with the regulations and shall not be subject to the evaluation for newly-appointed faculty members stipulated in Paragraph 1 of this Article.

Full-time faculty of all ranks appointed after August 1, 2011 who have passed the evaluation for newly-appointed teachers under this Article shall be evaluated in accordance with the provisions of Article 6 and Article 7 in future evaluations. If they fail the re-evaluation, the decision regarding the renewal/non-renewal of their employment shall be determined by a resolution of the Faculty Evaluation Committees at all three levels.

Non-renewals of employment shall be determined by a consensus of more than two-thirds of the Faculty Evaluation Committee (with more than two-thirds of the full committee present). The Faculty Evaluation Committee shall submit the decision of non-renewal of employment to the competent educational authorities for approval.

Article 8-1 For faculty members who do not pass their evaluations, the re-evaluation of their performance in teaching, research, service, and advising after the provision of consultation or assistance shall cover the three-year (for assistant professors), or five-year (for associate professors and professors) period prior to the re-evaluation. The performance evaluation may not begin in the year of the first evaluation.

Article 9 Faculty members who meet any one of the following criteria during the three-year period (for assistant professors) or five-year period (for associate professors and professors) before their evaluation may apply for exemption from the current performance evaluation:

- I. Served as an NTNU Research Chair Professor
- II. Received an NTNU Exceptional (Outstanding) Teaching Award
- III. Received an NTNU Exceptional Service Award.
- IV. Due to retire in the semester following the evaluation.
- V. Received an Excellent Teacher Award from the Ministry of Education.

Article 10 Associate professors and above who meet any one of the following criteria may apply to be exempt from all performance evaluations:

- I. Elected as a member of Academia Sinica.
- II. Received a Ministry of Education Academic Award, National Chair Professorship, National Award for Arts, or Executive Yuan National Cultural Award.

- III. Served as an NTNU Chair Professor.
- IV. Served as a lecturer for a renowned domestic or overseas university recognized by NTNU.
- V. Awarded grants for serving as principal investigator on a research project (hereinafter referred to as research project grants) ,including industry-academia collaboration projects, from the Ministry of Science and Technology (formerly known as the National Science Council) more than fifteen times. (a Class-A Research Award from MOST may be regarded as equivalent to one research project grant; one Outstanding Research Award may be regarded as equivalent to three research project grants). The project execution period shall be at least one year, and a maximum of one grant may be included in the calculation per year.

The standards for research project grants in the preceding Paragraph shall increase by one grant every two years starting from a total of 10 grants in 2015, so that the total number of grants required shall be as follows:

- I. Applications filed for 2016 and 2017: 11 grants
- II. Applications filed for 2018 and 2019: 12 grants
- III. Applications filed for 2020 and 2021: 13 grants
- IV. Applications filed for 2022 and 2023: 14 grants
- V. Applications filed for 2024 and after: 15 grants

One NTNU Teaching Excellence Award may be counted as equivalent to one research project grant from an organization (an Exceptional Teaching Award may be counted as equivalent to three research project grants from organizations). However, Teaching Excellence Awards and research project grants from organizations received within the same year as the award may not be counted repeatedly. Exceptional Teaching Awards and research project grants from organizations received within three years following the year of the award may not be counted repeatedly.

Article 11 Associate professors and above whose teaching performance meets any one of the following criteria may apply for an exemption from all performance evaluations: Awarded the NTNU Teaching Excellence Award over fifteen times (one Exceptional Teaching Award may be regarded as equivalent to three Teaching Excellence Awards).

Article 12 Faculty members who have been approved for over six months of work suspension with or without pay for reasons such as sabbatical leave, studying overseas, teaching overseas, a temporary job transfer, taking parental leave, attending to relatives, or other major event shall have their evaluation deferred until after they return to work after the leave period. Female faculty who are pregnant or who have given birth (or miscarried)

may be given a two-year grace period for postponing the evaluation even if not applying for retention without pay.

Faculty members who serve as NTNU Level 2 directors, deputy directors, or above may apply for deferred evaluation starting in the semester during which the evaluation is due in accordance with their service period.

The period covered by the deferred evaluation shall be calculated from the semester of the previous evaluation. Performance during the semester of the current evaluation shall be included as part the following evaluation.

Article 13 In the event that evaluation information provided by a faculty member involves plagiarism, falsification, alteration, or other actions in violation of academic ethics or integrity, once verified, the faculty member shall be deemed as having failed the evaluation and processed in accordance with relevant NTNU regulations.

Article 14 Faculty members due for evaluation must provide the required information for the evaluation. Those who fail to provide such information shall be deemed to have failed the evaluation.

Article 15 The Institute shall formulate specific and clear scoring standards for the evaluation items in accordance with the provisions stipulated in Articles 4 and 5.

The Institute shall list faculty evaluation cases as matters for deliberation, carefully review the materials submitted for evaluation, and vote by secret ballot.

Article 16 Faculty evaluations shall be conducted according to the following schedule:

- I. Schedule for preliminary evaluations
 - (I) The Institute shall notify faculty members who are due to be evaluated in the following semester by the end of September/March of each year. Faculty members who meet the criteria for exemption from evaluation shall submit an application for exemption in the semester prior to the semester of the evaluation, and shall undergo the procedures necessary for the Institute to confirm the list of faculty members who will undergo evaluation in the following semester. The list of faculty members to be evaluated shall be submitted to the CISS office.
 - (II) Faculty members due for an evaluation shall submit the relevant information to the Institute office by the end of August/ February of the evaluation semester. The Institute's Faculty Evaluation Committee shall complete the preliminary evaluation in accordance with the Evaluation Guidelines formulated by the Institute, and submit the preliminary evaluation results and faculty members' evaluation information to the CISS office.

II. Schedule for secondary evaluations

The College Faculty Evaluation Committee shall complete the secondary evaluation by the end of November/May, and report the secondary evaluation results and faculty members' evaluation information to the University President. All materials shall then be submitted to the University Faculty Evaluation Committee for recordation and future reference.

For faculty members who are undergoing evaluation and applying for promotion in the same semester, the Faculty Evaluation Committees at all levels shall review their faculty evaluation before reviewing their promotion application.

Article 17 Faculty members of the Institute who wish to dispute the evaluation procedures or results of their evaluation may submit an appeal in accordance with administrative procedures within 15 days of receiving the results.

Article 18 Evaluations of researchers, contract-based faculty members, and faculty members of the School of Teacher Education shall be conducted in accordance the relevant NTNU regulations.

Article 19 Any matters not addressed in these Guidelines shall be governed by the relevant regulations of National Taiwan Normal University.

Article 20 Starting on August 1, 2014, evaluations of full-time faculty members of the Institute shall be carried out in accordance with the standards set forth in the Guidelines; the Guidelines are applicable to faculty members appointed after August 1, 2011.

Article 21 These Guidelines shall be submitted for deliberation by the College Faculty Evaluation Committee after passage at the Institute Affairs Meeting. After deliberation and approval, they shall be submitted to the University President for approval and implementation, at which time the Guidelines shall take effect. The same shall apply to future revisions hereto.