

Operational Guidelines Governing Faculty Evaluation of the Institute of Taiwan History, National Taiwan Normal University

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March 12, 2012

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2024

Article 1

To enhance the quality of teaching, research, service, and student advising and to promote the professional growth of faculty members, the Institute of Taiwan History (hereinafter referred to as "the Institute") has established the "Operational Guidelines Governing Faculty Evaluation of the Institute of Taiwan History, National Taiwan Normal University" (hereinafter referred to as "these Guidelines") in accordance with the National Taiwan Normal University Faculty Evaluation Regulations and the Faculty Evaluation Standards of the College of Liberal Arts.

Article 2

The evaluation subjects under these Guidelines are full-time faculty members (including professional technical personnel) who have served at the Institute for at least one year.

Article 3

The evaluation items include three areas: teaching, research, and service (including student advising). Evaluation methods may include institute evaluation, self-evaluation, peer evaluation, student evaluation, and other forms of assessment. Preliminary review shall be conducted by the Institute Faculty Evaluation Committee, followed by secondary review by the College Faculty Evaluation Committee. A faculty member shall be deemed to have passed the evaluation only if each of the three areas (teaching, research, and service/student advising) is individually passed.

Before undergoing evaluation, full-time faculty members of all ranks shall complete at least three hours of academic ethics and integrity education training and provide relevant certificates of completion.

Article 4

The evaluation standards for faculty members shall be as follows:

(1) Teaching:

An average score of 3.5 or higher on course evaluation surveys during the evaluation period, compliance with teaching hour regulations, and the absence of other adverse teaching incidents (if

none, this requirement is waived; however, the faculty member may be requested to provide written explanations if necessary).

(2) Research: Academic performance and research projects shall meet the following requirements:

1. Academic performance (including publications and relevant materials) shall demonstrate originality and meet one of the following criteria:

(a) Monographs or single chapters: Within three years for Instructors and Assistant Professors, or within five years for Associate Professors and Professors, the member shall publish one monograph (co-authored by up to two persons) or three chapters in monographs that meet the University's review mechanism.

(b) Journal articles: Within three years, Instructors and Assistant Professors shall publish two journal articles. Within five years, Associate Professors and Professors shall publish three journal articles. These articles must be published in journals indexed in SCI, SCIE, SSCI, A&HCI, EI, EconLit, TSSCI, the 2016 New THCI (formerly THCI Core), SCOPUS, or other journals recognized by the respective colleges. For journals in the top 20% by Impact Factor (IF) in SCI or top 50% in SSCI, one article meets the standard for Instructors and Assistant Professors, and two articles meet the standard for Associate Professors and Professors. Conference papers indexed in SCOPUS (three papers count as one journal article, provided the member is the first or corresponding author) ~~or one National Science and Technology Council (NSTC; formerly MOST) research project (provided the member is the PI) may be counted as one journal article.~~

(c) Patents: Within three years, Instructors and Assistant Professors shall hold two patents under substantive examination. Within five years, Associate Professors and Professors shall hold three patents. The University must be the patent holder.

(d) Other academic performance: Other academic performance deemed equivalent to the above by the three-tier Faculty Evaluation Committee system.

Regarding the authorship order of the aforementioned monograph chapters or journal articles, at least one for Instructors and Assistant Professors, and at least two for Associate Professors and Professors, must be the first author or the corresponding author.

2. Research Projects:

Instructors shall be required to serve as a principal investigator (PI) or co-investigator for at least one externally funded research project every three years. Assistant Professors shall be required to serve as a PI (excluding co-investigators) for at least one externally funded research project every three years. Associate Professors and Professors shall be required to serve as a PI (excluding co-investigators) for at least one externally funded research project every five years. Externally funded research projects must be undertaken in the name of the University (including industry-academic cooperation projects). Serving as a sub-project PI of a single integrated research project funded by the NSTC (formerly MOST) shall be regarded as hosting one research project.

(3) Service (including student advising): A minimum score of 80 (scoring items and standards established by the Institute).

1. Internal Service: Including service for academic symposiums, serving as a representative at the university, college, or institute level, assisting with institute affairs, recruitment work, thesis defense committees, or other services.

2. External Service: Including service for academic societies, service for external academic symposiums, keynote speeches, teaching guidance, reviewing, evaluation, thesis defense committees, assisting administrative agencies, or participating in other relevant academic professional services.

3. Student Advising: Including lifestyle and academic advising. This covers advising for students' extracurricular learning, lifestyle advising, mental and physical health advising, career planning guidance, assisting students in problem-solving, and off-campus/on-campus academic or competition coaching, such as serving as a thesis advisor.

Article 4-1

The number of academic performances (publications, works, patents, or other items) referred to in the preceding Article may be accumulated in accordance with the following standards: ~~One monograph or one single chapter in a monograph co-authored by three or more persons, or one patent, may be counted as one journal article; one award obtained from a performance or competition may be counted as two journal articles.~~

- (1) Where the following conditions are met, cross-crediting between categories shall be permitted; provided that such crediting shall be limited to one instance per evaluation and only one option may be selected:

1. Credit toward journal articles:

- (a) One research project funded by the National Science and Technology Council (NSTC) (the faculty member must serve as the principal investigator) may be counted as one journal article.
- (b) One externally funded project undertaken in the name of the University (the faculty member must serve as the principal investigator), with total funding of not less than NT\$1,000,000 and for which administrative management fees have been duly paid in accordance with relevant regulations, may be counted as one journal article.

2. Credit toward research projects:

One academic performance (publication, work, patent, or other item) may be counted as one externally funded research project; provided that, where the performance consists of a monograph chapter or a journal article, the faculty member must be the first author or corresponding author in order to receive such credit.

3. Special contributions:

During the evaluation period, any of the following contributions to the University may be counted as one externally funded research project:

- (a) Writing and executing University-level projects on two occasions (a project with an execution period of one year shall be counted as one occasion; any remaining period exceeding one year but less than twelve months shall not be counted). University-level projects must have a significant impact on the overall development of University affairs and must fall within the categories approved by the University Research and Development Council.
- (b) Serving as a conductor of University-level ensembles for a period of two years.
- (c) Serving as a coach of University teams for a period of two years.
- (d) Serving on two occasions as the person in charge of training programs for University participants in national-level or international-level competitions.
- (e) Supervising University students to achieve “Award of Excellence” or above in national competitions on two occasions, or to achieve selection or above in international competitions on one occasion.

Article 5

Full-time faculty members of the Institute who have reached 25 years of service may choose to be evaluated according to Article 4 or according to the following standards:

- (1) Teaching: An average score of 3.5 or higher on course evaluation surveys during the evaluation period, compliance with teaching hour regulations, and the absence of other adverse teaching incidents (if none, this requirement is waived; however, the faculty member may be requested to provide written explanations if necessary).
- (2) Research: Academic performance and research projects shall meet the following requirements:
 1. Academic performance (including publications and relevant materials) shall demonstrate originality and meet at least one of the following criteria:
 - (a) Monographs or single chapters in monographs: Within three years for Instructors and Assistant Professors, and within five years for Associate Professors and Professors, the member shall publish one monograph (may be co-authored by up to two persons) or two chapters in monographs that meet the University's review mechanism.
 - (b) Journal articles: Within three years for Instructors and Assistant Professors, one journal article shall be published; within five years for Associate Professors and Professors, two journal articles shall be published. These articles must be published in journals indexed in SCI, SCIE, SSCI, A&HCI, EI, EconLit, TSSCI, the 2016 New THCI (formerly THCI Core), SCOPUS, or other journals recognized by the respective colleges. For journals in the top 20% by Impact Factor (IF) in SCI or top 50% in SSCI, one article meets the standard for Associate Professors and Professors. Conference papers indexed in SCOPUS (three papers count as one journal article, provided the member is the first or corresponding author) ~~or one NSTC research project (provided the member is the PI) may be counted as one journal article.~~
 - (c) Patents: Within three years for Instructors and Assistant Professors, one patent under substantive examination shall be held; within five years for Associate Professors and Professors, two patents under substantive examination shall be held. The University must be the patent holder.

- (d) Other academic performance deemed equivalent to the above by the three-tier Faculty Evaluation Committee system.
2. The cumulative standards for the above academic performance (publications/items/instances) are the same as those set forth in Article 4-1. If the faculty member has two concurrent affiliations, the University must be listed as the primary affiliation for all publications.
 3. Research Projects: Instructors and Assistant Professors shall be required to serve as a principal investigator or co-investigator for at least one externally funded research project every three years. Associate Professors and Professors shall be required to serve as a principal investigator or co-investigator for at least one externally funded research project every five years. The recognition and credit accumulation standards for externally funded research projects are the same as those in Article 4 and Article 4-1.
- (3) Service (including student advising): A minimum score of 80; the scoring items and standards shall be the same as those in Article 4.

Article 6

The evaluation results for Instructors and Assistant Professors shall be handled as follows:

- (1) Evaluations shall be conducted every three years. If a member fails the evaluation, starting from the following academic year: the member shall be ineligible for salary increases; the member shall not teach overload hours; the member shall not hold part-time positions or engage in teaching inside or outside the University (including in-service master's programs, the School of Continuing Education, and summer sessions); the member shall not apply for leave with pay for research or advanced studies abroad; and the member shall not serve as a head or deputy head of a second-level University unit. The Institute shall provide assistance, and the member shall submit an improvement plan. A re-evaluation shall be conducted within two years. If the member fails the re-evaluation, a resolution for non-renewal shall be submitted to the three-tier Faculty Evaluation Committee system.
- (2) Anyone who has failed the most recent evaluation shall not apply for promotion.

The evaluation period shall be calculated in semesters and shall cover three years starting from the semester of the member's previous evaluation. All performances in the semester of the current evaluation shall be included in the data collection for the next evaluation. If a member is promoted after passing an evaluation, the cycle shall restart from the semester in which the promotion takes effect, and performance in that semester shall be included in the next evaluation cycle.

Article 7

The evaluation results for Associate Professors and Professors shall be handled as follows:

- (1) Evaluations shall be conducted every five years. If a member fails the evaluation, starting from the following academic year: the member shall be ineligible for salary increases; the member shall not teach overload hours; the member shall not hold part-time positions or engage in teaching inside or outside the University; the member shall not be seconded; the member shall not apply for sabbatical leave for research; the member shall not engage in academic lecturing abroad; the member shall not apply for leave with pay for research or advanced studies abroad; and the member shall not serve as a member of any level of Faculty Evaluation Committee or as a head of an administrative or academic unit. A re-evaluation shall be applied for within two years. Upon passing the re-evaluation, the aforementioned restrictions shall be lifted starting from the following academic year.
- (2) Anyone who has failed the most recent evaluation shall not apply for promotion.

The evaluation period shall be calculated in semesters and shall cover five years starting from the semester of the member's previous evaluation. All performances in the semester of the current evaluation shall be included in the data collection for the next evaluation. If a member is promoted after passing an evaluation, the cycle shall restart from the semester in which the promotion takes effect, and performance in that semester shall be included in the next evaluation cycle.

For Associate Professors and Professors who fail evaluation, the Institute shall provide assistance and the member shall submit an improvement plan to be discussed by the three-tier Faculty Evaluation Committee system. However, those retiring within two

academic semesters following the evaluation failure may be exempted from submitting an improvement plan.

Article 8

New full-time faculty members of all ranks appointed on or after August 1, 2011, shall pass the evaluation no later than the semester following three years of service (i.e., the 7th semester). The evaluation standards shall be the same as those for Instructors and Assistant Professors in Article 4. For first-time teachers, course evaluation surveys must cover at least four semesters (inclusive); for those who are not first-time teachers (those who had taught at other universities before joining NTNU or had served as project-based faculty at NTNU), course evaluation surveys must cover at least two semesters (inclusive).

New full-time faculty members appointed on or after February 1, 2016, shall attend the "New Faculty Orientation" within one year of arrival. First-time teachers shall undergo one "Teaching Consultation" within one academic year of arrival and one "Research Consultation" organized by the Office of Research and Development. Those unable to attend shall complete these in the following academic year to pass the new faculty evaluation.

If the evaluation is failed, the consequences and re-evaluation procedures shall follow those in Article 6 and Article 7. If the re-evaluation is failed, a resolution for non-renewal shall be submitted to the three-tier system.

New full-time faculty members appointed on or after August 1, 2011, who meet evaluation exemption requirements in Articles 9 through 11, may apply for exemption directly and are not required to undergo the new faculty evaluation.

A resolution for non-renewal shall require the presence of at least two-thirds of the Faculty Evaluation Committee members and the approval of at least two-thirds of the members present. The resolution shall be submitted to the competent educational administrative authority for approval.

Article 8-1

For those who fail evaluation and undergo re-evaluation after guidance or assistance, the data collection period for teaching, research, and service (including student advising) shall be calculated by counting back three years (for Instructors and Assistant Professors) or five

years (for Associate Professors and Professors) from the year of the re-evaluation, rather than starting from the year of the initial failed evaluation.

Article 9

Faculty members meeting one of the following criteria within three years (for Instructors/Asst Profs) or five years (for Assoc Profs/Profs) preceding evaluation may apply for a one-time exemption: (1) Serving as a NTNU Chair Professor; (2) Recipient of the University's Outstanding Teaching Award; (3) Recipient of the University's Outstanding Service Award; (4) Retiring within the next two semesters; (5) Recipient of the Ministry of Education's Power of Exemplary Teachers Award.

Article 10

Professors whose research performance meets one of the following criteria may apply for lifetime exemption from evaluation:

- (1) Elected as an Academician of Academia Sinica.
- (2) Recipient of the Ministry of Education Academic Award, National Professorship, National Award for Arts, or Executive Yuan Cultural Award.
- ~~(3) Having served as an NTNU Chair Professor.~~
- (3) Having served as a chair professor at a renowned university at home or abroad as recognized by NTNU.
- (4) Having received the principal investigator fee for NSTC research projects (including industry-academic cooperation projects) 15 or more times. One NSTC Class A Research Award counts as one instance of PI funding; one Outstanding Research Award counts as three instances. Threshold adjustments since 2015: 2016-17: 11 times; 2018-19: 12 times; 2020-21: 13 times; 2022-23: 14 times; 2024 onwards: 15 times.

One recipient of NTNU Excellent Teaching Award or Outstanding Service Award may be counted as one instance of PI funding (one Outstanding Teaching Award counts as three instances). However, funding in the same year as the award shall not be counted repeatedly. Funding for the three years starting from the year of the Outstanding Teaching Award shall not be counted repeatedly.

Article 10-1

Faculty members who have reached 60 years of age may be exempted from evaluation.

Article 11

Professors whose teaching performance meets the following criteria may apply for lifetime exemption: Having received the NTNU Excellent Teaching Award 15 or more times (one Outstanding Teaching Award counts as three Excellent Teaching Awards).

Article 12

Faculty approved for sabbatical, study abroad, lecturing abroad, secondment, parental leave, family care leave, or major accidents for six months or more, shall apply to postpone evaluation based on the length of their leave upon return, starting from the semester evaluation was due.

Article 13

Faculty suffering major accidents during the cycle may apply to postpone evaluation starting from the semester evaluation was due, upon University approval.

Article 14

Female faculty who are pregnant, give birth, or have a miscarriage may be granted a two-year grace period for postponement without the need for unpaid leave.

Article 15

Faculty serving as University second-level heads or higher may apply to postpone evaluation based on years of service.

Article 16

Postponed evaluation data shall be calculated starting from the semester of the previous evaluation. Performances during the postponed semester shall be included in the next evaluation collection.

Article 17

If evaluation materials involve plagiarism, fabrication, alteration, or other violations of academic ethics, the evaluation shall be deemed failed and handled in accordance with relevant University regulations.

Article 18

Faculty members subject to evaluation shall submit relevant materials. Those who fail to submit materials shall be deemed to have failed the evaluation.

Article 19

The evaluation timeline of the Institute is as follows:

- (1) The Institute shall notify faculty members subject to evaluation for the following semester by the end of September or March each year. Faculty members meeting exemption requirements shall apply in the semester preceding their due evaluation.
- (2) Faculty members subject to evaluation shall submit materials to the Institute office by the end of September or March. The Institute Faculty Evaluation Committee shall convene a meeting and submit preliminary results to the College by the end of October or April.
- (3) Evaluation results shall await notification from the College and University committees via letters filed for record.

Article 20

Any matters not provided for in these Guidelines shall be handled in accordance with relevant University regulations.

Article 21

Starting from August 1, 2014, evaluations shall follow these Guidelines. New faculty appointed on or after August 1, 2011, are subject to these Guidelines.

Article 22

These Guidelines shall take effect only upon approval by the Institute Affairs Meeting, review and approval by the College Faculty Evaluation Committee, and final approval by the President for promulgation.