

# National Sun Yat-sen University Regulations for Faculty Evaluations

Approved at the 2<sup>nd</sup> University Assembly of 2005 Academic Year, December 23, 2005

Amended and approved by the 4<sup>th</sup> University Assembly of 2007 Academic Year, June 8, 2007

Amended and approved at the 1<sup>st</sup> University Assembly of 2009 Academic Year, October 23, 2009

Amended and approved at the 2<sup>nd</sup> University Assembly of 2009 Academic Year, December 18, 2009

Amended and approved at the 2<sup>nd</sup> University Assembly of 2010 Academic Year, December 24, 2010

Amended and approved at the 1<sup>st</sup> University Assembly of 2011 Academic Year, October 21, 2011

Amended and approved at the 2<sup>nd</sup> University Assembly of 2013 Academic Year, December 20, 2013

Amended and approved at the 2<sup>nd</sup> University Assembly of 2014 Academic Year, December 26, 2014

Amended and approved at the 4<sup>th</sup> University Assembly of 2018 Academic Year, May 24, 2019

Amended and approved at the 2<sup>nd</sup> University Assembly of 2019 Academic Year, December 20, 2019

Amended and approved at the 1<sup>st</sup> University Assembly of 2020 Academic Year, October 23, 2020

Article 1 The regulations are established (hereinafter referred as “the Regulations”), in accordance with Articles 20 and 21 of the University Act, and Articles 58 and 60 of NSYSU Organization Regulations to improve the quality of teaching, research, counseling and services.

Article 2 All full-time faculty members shall be evaluated in accordance with the Regulations.

Article 3 All full-time faculty members shall be evaluated every 5 years. The academic year when the faculty members who pass the evaluation shall count that academic year as the beginning year for their next evaluation.

All newly-hired faculty members are subject to the evaluation requirements in accordance to the regulations of their respective college, and must undergo an evaluation 3-5 years after their appointment. Faculty members may apply to be evaluated prior to the required 5-year duration with the agreement of their respective college. After passing, subsequent evaluations shall be conducted once every 5 years.

Full-time faculty members of any level who are promoted after their appointment are considered to have passed the faculty evaluation once, however, this is not applicable for newly-hired faculty members who are promoted before their first evaluation.

Article 4 Faculty members who received one of the following awards are exempted from evaluation for that evaluation year: Ta-You Wu Memorial Award from the Ministry of Science and Technology, NSYSU Outstanding Teaching Award, or NSYSU Outstanding Industry-Academia Cooperation Award (including Outstanding Industry-Academia Cooperation Award for New Faculty). The case, however, is not applicable for newly-hired faculty members who received the abovementioned awards before their first evaluation.

Article 5 Full-time faculty members of any level are not required to undergo evaluations for any of the following conditions (data collected up until the end of the previous academic year):

1. Selected as academician of Academia Sinica.
2. Recipients of either Academic award of Ministry of Education, National Teacher Award or the National Forum; National Award for Arts from the Ministry of Culture; Outstanding Research Award from the Ministry of Science and Technology; this university’s professorial chair; as well as professorial chairs from well-known universities, foreign and domestic, approved by this university.

3. Those who have accumulated up to 15 points with the achievements listed below. Exclude research project plans for the Ministry of Science and Technology, which require 8 points (inclusive) or more.
  - 3.1 Research projects and rewards:
    - 3.1.1. Project plan:

Project leader for research project of the Ministry of Science and Technology, (starting from MOST 91). Each project counts as one point, maximum 3 points total per academic year.
    - 3.1.2. Research reward:
      - A. 3 points for Outstanding Research Award of this university (formerly the Research Evaluation Award).
      - B. 2.5 points for Best Research Award of the Ministry of Science and Technology.
      - C. 2.5 points for Ta-You Wu Memorial Award.
      - D. 2.5 points for Junior Research Investigators Award of Academia Sinica.
      - E. 1.5 points for Outstanding Research Award for Young Scholar of this university.
      - F. 1.5 points for each Grade A Award by the Ministry of Science and Technology.
    - 3.1.3. No additional points will be given to those winning the Ta-You Wu Memorial Award of the Ministry of Science and Technology, and thereby automatically received the Young Scholar Award by this University in said academic year.
  - 3.2 Teaching plan and reward:
    - 3.2.1. Teaching plan:

Those who led teaching related research projects for the Ministry of Education, get 1 point for every NT\$300,000 of project funding received. Maximum 4 points.
    - 3.2.2. Teaching reward:
      - A. 3 points for Teaching Award of Excellence of the university (formerly the Outstanding Teaching Award).
      - B. 1.5 points for Best Teaching Faculty Member Award of the university (formerly the Best Teaching Award).
  - 3.3 Industrial researches and rewards:
    - 3.3.1. Industrial research:
      - A. Those who led collaborative education programs commissioned by the governmental or a non-governmental organization (corporations and legal entities) and approved by the undertaking handling unit of this university, get 1 point for every NT\$1,000,000 of project funding received. Those disbursed with university Administrative Affair Fund get 1 point for every NT\$100,000 received, and so forth.
      - B. One point for technology transfer fee up to NT\$400,000 approved by the university's undertaking handling unit; or 1 point for every NT\$100,000 of feedback fund from any college/department of the university, and so forth.
      - C. A total of 4 points maximum may be combined by abovementioned sections A and B.
    - 3.3.2. Industrial reward:

3 points for each Industrial Collaboration Excellence Award (formerly the Sun Yat-

sen Technological Invention Award and Outstanding Industrial Collaboration Award) received.

4. Aged 60.

5. Those who previously received famous international academic awards or outstanding recognitions related to teaching, research and services (including sports, theatrical art and music), approved by three-level Teacher Review Committees and the university President.

When awarded certificates are in question, the matter should be evaluated by Office of Academic Affairs (teaching aspect), Office of Research and Development and Office of Industrial Collaboration and Continuing Education Affairs (research aspect).

This rule was amended and approved in October 21, 2011. During the first evaluation after this rule was amended, all full-time faculty members appointed before that date may obtain exemption status in accordance to Article 4 prior to its amendment on December 24, 2010,

For faculty members who had obtained the exemption status, if more than three semesters of courses taught in the last three years are listed as follow-up courses and without any proper legitimate reason, applicable unit or the related University committee may review the facts and obtain supporting information, and send to the College Faculty Evaluation Committee for consideration whether to maintain the exemption status or be subjected to other sanctions, then to the University Faculty Evaluation Committee for resolution.

Those whose exemption status is revoked, shall be evaluated in the next academic year, and may not apply for exemption within five academic years.

#### Article 6

The University conducts evaluation of full-time faculty members under principles of fairness, justice and openness. The Faculty Evaluation Committee of each college comprises of 5 to 7 members. The dean of each college shall serve as the convener of each Committee. Committee members shall comprise those with outstanding performance in teaching, research, and services recruited by the Convener from respective college, other colleges or teacher representative from other schools. At least two teacher representatives from other colleges or schools must be on the Committee.

Before the evaluation, any college with one teacher receiving a low score in teaching, research, counseling or service categories, prior to calculating committee members' composite score (less than 56 points in teaching or research, or below 49 points from guidance and service), its Faculty Evaluation Committee must have at least three external members for that year.

Faulty members who conditionally passed or failed to pass the evaluation must undergo an reevaluation process. The reevaluation shall be conducted by the original Faculty Evaluation Committee. Any member of the original Faculty Evaluation Committee who has since retired or resigned may continue to serve on the Committee. If any Committee member cannot continue to serve for any reason, the position shall remain vacant.

#### Article 7

Faculty evaluations shall be conducted in an objective manner combining three major evaluation categories including teaching, research, counseling and service. The result of each evaluation category shall be higher than 70 points (inclusive) to pass the evaluation. For college with other threshold requirements, which ever is stricter shall apply.

Each college shall enact its own Guidelines for Faculty Evaluation Implementation, including

evaluation categories, standards, procedures, etc., before sending it to the University Faculty Evaluation Committee Meeting for approval and implementation.

The passing standards for Si-Wan College faculty members, lecturers in each department (institute), and those holding a "Severe Illness Card" or "Disability Card" are to be approved by the Faculty Evaluation Committee of each respective college.

If any faculty member is prosecuted for alleged embezzlement of research funds, or is involved in any procurement fraud under auditing/accounting unit investigation, or violating the University's Appointment Contract or Code of Practice for Faculty Members, the matter should be examined by applicable units or related university committees, together with all facts, seized evidences and documentations. The matter shall then be presented to the third-level Teacher Review Committees for approval. The implicated-faculty member's total points of faculty evaluation accumulated from counseling and service categories shall be adjusted by the Faculty Evaluation Committee of this University.

Article 7~1 The calculation of years for evaluation, categories, procedures, passing standards, etc., of newly-hired faculty members, which have been set separately according to related colleges' Guidelines for Newly-Appointed Faculty Evaluation Implementation, and have been sent to the University Faculty Evaluation Committee Meeting for approval and implementation, is not restricted by Item 1 of Article 7 of this Regulation.

Article 8 Faculty members who fail to pass the evaluation shall not receive a salary raise, apply for leave to do research, deliver courses in other universities, assume part-time positions outside of the university, or deliver courses on part-time basis in the following academic year. Those who failed the evaluation, shall have the abovementioned restrictions lifted after their "Improvement Performance Report" passed the review afterwards in the following academic year.

Article 9 Faculty members under evaluation shall supply related information for determination of the teacher evaluation. Those who did not comply are considered failing the evaluation in the academic year. Those who are on paid or unpaid sabbatical hence are not on campus and could not provide relevant information in the academic year (such as taking time-off for research, delivering courses in other universities, lecturing abroad/studying overseas, or other major causes), may delay the evaluation until they return.

Where a faculty member/spouse to be evaluated had become pregnant and given birth, the evaluation may be delayed (by two years each time for the faculty member, or by one year each time for the spouse). The applying faculty must proactively submit applicable information and materials to the contact person of respective college for verification.

Faculty members holding a "Disability Card" with mild or intermediary impairments may apply to delay the evaluation for one academic year. Faculty members holding a "Disability Card" with severe impairments (inclusive) may apply to delay the evaluation for two academic years. Where a faculty member has encountered a severe incident, depending on the gravity of the situation, may have the evaluation period extended with the University President's approval. The evaluation period may be extended by no more than four academic years.

Article 10 The calculation of years for evaluation does not include paid or unpaid sabbaticals. Faculty members promoted in the first semester after passing their evaluation, the academic year where their effective promotion date falls-on shall be the base year for the next evaluation.

For faculty members promoted in the second semester after passing their evaluation, the following academic year where their effective promotion date fell-on shall be the base year for the next evaluation.

Those who have questions regarding the calculation of their evaluation years can seek explanations from the Office of Personnel Services.

Article 11 Members of Faculty Evaluation Committee shall retire automatically to avoid any conflict of interest if the evaluation involves themselves, a spouse, blood relations among in the third degree, political relations, or someone they have vested interest in, and refrain from any discussions or decision-making. In the event there are facts sufficient to establish that a member could unduly influence the Evaluation Committee over its review of a particular case, the faculty-under-evaluation may apply to the Evaluation Committee to request said member to be excused from the evaluation, and provide information including the background and facts supporting such claim. Members who fail to retire automatically may be asked by the Committee Chair to do so, through a resolution of the Faculty Evaluation Committee. The vote of a member who should retire as they meet three of the above conditions will not be counted in the resolutions as stated. Faculty Evaluation Committee Meetings may be convened with at least two-thirds of the members present. Resolutions maybe reached by consent with the majority or more of the members present.

Article 12 Faculty Evaluation Committee shall consider inviting the following individuals to attend its meetings as needed: Senior Vice President, Dean Academic Affairs, Dean of Research and Development, heads of related department and related professionals from the Teacher Review Committee of the University to be present at the Faculty Evaluation Committee.

Article 13 Office of Academic Affairs shall draft the evaluation plan and timelines prior to evaluations in the academic year; Faculty Evaluation Committee shall finalize the plan and timelines, and send them to the Office of Academic Affairs before April 1 of the academic year for compilation. The plan together with timelines shall be then submitted to the University's Faculty Evaluation Committee for resolution.

Article 14 Evaluations for full-time faculty members of the Center for Faculty Education shall be incorporated into Institute of Education for handling.

Article 15 When a faculty member under evaluation objects to the Faculty Evaluation Committee resolution, they may submit a written appeal to their college or the General Education Center. Those who object to the appeal results may submit a written re-appeal request to the University's Teacher Review Committee. Those who object to the re-appeal results may submit a written letter of appeal to the University's committee of teacher grievances.

Article 16 All matters not mentioned shall be handled according to related regulations.

Article 17 The Regulations were passed by the University Assemblies, and implemented after the President's approval. All amendments and revisions follow the same process

# **National Sun Yat-sen University**

## **Faculty Evaluation Implementation Guidelines**

Amended and approved at the 4<sup>th</sup> University Assembly of 2005 academic year, June 20, 2006

Amended and approved at the 4<sup>th</sup> University Assembly of 2006 academic year, June 08, 2007

Amended and approved at the 1<sup>st</sup> University Assembly of 2007 academic year, October 26, 2007

Amended and approved at the 1<sup>st</sup> University Assembly of 2009 academic year, October 23, 2009

Amended and approved at the 2<sup>nd</sup> University Assembly of 2009 academic year, December 18, 2009

Amended and approved at the 2<sup>nd</sup> University Assembly of 2010 academic year, December 24, 2010

Amended and approved at the 4<sup>th</sup> University Assembly of 2014 academic year, May 29, 2015

Amended and approved at the 4<sup>th</sup> University Assembly of 2018 academic year, May 24, 2019

- Article 1 The Faculty Evaluation Implementation Guidelines (hereinafter referred to as the Guidelines") are established for evaluation of the teachers to improve the teaching quality and academic level of National Sun Yat-Sen University (hereinafter referred to as the "University").
- Article 2 The Faculty Evaluation Committee of each college must be established before January 31<sup>st</sup> in the academic year in which the evaluation is to be conducted.
- Article 3 The evaluation of a teacher is conducted based on the documents within five academic years (the years for leaves with or without pay as well as long sick leaves are not included) before the evaluation. The documents mentioned above are limited to those provided by the teacher. Newly-hired faculty member is to be evaluated based on documents 3-5 academic years before the evaluation.
- Article 4 The Faculty Evaluation Committee of each college shall compile a name list of the teachers who “need to undertake the evaluation” and “do not need to undertake the evaluation” and send it to related units for review and approval. It shall then submit the name list to the Office of Academic Affairs for reference at the end of January.
- Article 5 When conducting the evaluation of teachers, each college must describe the process and method of the evaluation to the Faculty Evaluation Committee. The responsible unit can be asked to attend the meeting and give a description, if necessary.
- Article 6 Resolution of the Faculty Evaluation Committee of each college determines the name list of the teachers who "pass", “conditionally pass" and "fail" the evaluation.
- Article 7 Process of the initial evaluation:
- (1) The Committee members make the name list of the teachers who "pass" the evaluation and "need to improve" based on the initial evaluation of their overall performance in teaching, research, guidance and service.
  - (2) The teachers who "need to improve" must submit an improvement plan by the end of January with one full academic year interval, to the Faculty Evaluation Committee within 10 days after receiving the notice. They will be deemed as "conditionally passing" the evaluation when the improvement plan is approved by

the Committee. The teachers who do not submit the improvement plan or if the plan is not approved are deemed as failing the evaluation, unless Subsection (3) is applicable.

The Faculty Evaluation Committee shall list the items to be improved and request the teachers who do not pass the evaluation to carry it out by the end of January in the next academic year.

- (3) For the teachers who "need to improve" and are not in the position to submit the improvement plan within 10 days for special reasons, they may apply to the Faculty Evaluation Committee. They will be deemed as not undertaking the evaluation in the current academic year if the application is approved by the Committee, and the evaluation will be postponed until the special reasons disappear.

Article 8 The Faculty Evaluation Committee of each college must finish the review before April 1<sup>st</sup>. It shall compile a name list of the teachers who "pass", "conditionally pass" and "fail" the evaluation and send it to the Office of Academic Affairs for compilation. It shall then send the name list to the University Faculty Evaluation Committee for final resolution.

Article 9 Process of the Reevaluation

- (1) The teachers who "conditionally pass" the evaluation shall submit an "Effectiveness Report of the Improvement Plan" to the college before the end of February with one full academic year interval. After the original Faculty Evaluation Committee met and reached a determination, the result will be sent to the Office of Academic Affairs for compilation then forwarded to the University Faculty Evaluation Committee for final resolution. The teachers who do not submit the Effectiveness Report of the Improvement Plan or whose Effectiveness Report of the Improvement Plan fails the resolution will not be appointed as teachers for the next semester. Article 14 of the Guidelines for Appointment of Teachers and Researcher shall apply.
- (2) The teachers who "fail" the evaluation shall submit the "Effectiveness Report of Improvement Items" to the college before the end of February in the next year. After the original Faculty Evaluation Committee met and reached a determination, the result shall be sent to the Office of Academic Affairs for compilation then forwarded to the University Faculty Evaluation Committee for final resolution. The teachers who do not submit the Effectiveness Report of Improvement Items or whose Effectiveness Report of Improvement Items fails the resolution will not be appointed as teachers for the next semester. Article 14 of the Guidelines for Appointment of Teachers and Researcher shall apply.
- (3) For the teacher who is not in the position to submit the "Effectiveness Report of the Improvement Plan" or the "Effectiveness Report of Improvement Items" within the timeframe for special reasons, the Report will, subject to approval of the university president, be postponed until the special reasons disappear.

Article 10 The teachers who "conditionally pass" the evaluation may only have a "pass" or "fail" in the next evaluation.

Article 11 The Faculty Evaluation Committee shall send the result of the evaluation (including the comments of the Committee) to the Office of Academic Affairs for compiling, and, in the meantime, issue a written notice to the evaluated teacher and the department (institute) to which the teacher belongs.

Where objection is to be made, the evaluated teacher may file an appeal with evidence within 15 work days from the day receiving the notice, according to the University Regulations for Faculty Evaluations.

Article 12 The matters that are not covered by the Guidelines are subject to related regulations.

Article 13 The Guidelines are approved at the University Assembly and implemented after approval by the University President. The same procedure is applicable to the amendment of the Guidelines.

The regulations in English are translated from the original Chinese. In the event of any discrepancies between the two versions, the Chinese version prevails.