

National Taiwan Normal University Regulations for Conducting Researcher Evaluations

2016.5.25 Passed at the 116th General Meeting
2017.11.22 Revision passed during the 119th General Meeting
2021.06.02 Revision passed during the 162nd General Meeting

- Article 1 National Taiwan Normal University (NTNU) established the Regulations to improve the quality of research and service of researchers, and to promote their professional growth in accordance with provisions in Article 17 of the University Act, Article 8 of the Regulations Governing Appointment of University Research Personnel, and **Article 20** of the NTNU Regulations for Conducting Teacher Evaluations.
- Article 2 The target of evaluation for the Regulations are full-time NTNU researchers.
- Article 3 The two aspects of evaluation in the Regulations include research and service. Evaluation methods may include evaluations by the researcher's unit, self-evaluations, peer evaluations, and other forms of evaluation. Researchers are required to pass evaluations of their research and service in order to pass the evaluation.
- Article 4 Evaluation items and passing standards for researcher evaluations are as follows:
- I. Research: A passing score for research is 70 points or above for research assistants and assistant researchers, and 85 points or above for associate researchers and researchers.
 - (I) University-level projects: A maximum of 35 points may be awarded for preparing or implementing a university-level project (e.g., **Higher Education Sprout Project**, Teaching Excellence Project, or other large scale projects approved by NTNU).
 - (II) NTNU research projects: A maximum of 15 points may be awarded for participating or assisting in the preparation or implementation of a NTNU research project (e.g., Talent Promotion Program and international collaboration research projects subsidized by the Office of Research and Development).
 - (III) Single books or articles in single books: Fifty (50) points may be awarded for the publication of one book (maximum co-authorship of two individuals) that meets the review requirements established by NTNU. Twenty-five (25) points may be awarded for the publication of one book with three or more co-authors (inclusive), or one article in a book, provided that the researcher is the first author. A maximum of 10 points may be awarded if the researcher is not the first author.
 - (IV) Theses published in journals: Twenty-five (25) points may be awarded for each paper published on SCI, SSCI, A&HCI, EI, EconLit, TSSCI, and the new THCI (which was changed in 2016; originally THCI Core) level journals or other journals recognized by each college, provided that the researcher is the first author or corresponding author. A maximum of 10 points may be awarded if the researcher is not the first author or corresponding author. Ten (10) points may be awarded for papers collected in SCOPUS, provided that the researcher is the first author or corresponding author.

- (V) Research projects: Twenty-five (25) points for serving as the project host in a non-NTNU research project. A maximum of 10 points may be awarded for serving as co-host or researcher, and a maximum of two projects may be counted each year. Non-NTNU research projects above shall be projects undertaken in the name of NTNU (including industry-academia collaboration projects). Serving as the project host for a sub-project of an integrated project of the Ministry of Science and Technology (formerly the National Science Council) shall be regarded as the project host for a research project; each year of a multi-year research project shall be regarded as one research project each year.
- (VI) Patents: A maximum of 25 points may awarded for patents with substantial examination. If there are two or more inventors and the researcher did not make the highest contribution, a maximum of 10 points may be awarded. The owner of preceding patents must be NTNU.
- II. Service: 80 points or above. Evaluation standards shall be established by the researcher's unit. Support provided by researchers to NTNU courses may be included in this category.

Research performance specified in Subparagraph 1 and service performance specified in Paragraph 1, Subparagraph 2 of this Article may not be double counted.

Research performance is evaluated by the department-level Faculty Evaluation Committee based on the researcher's actual performance. However, the number of points awarded may not exceed the maximum specified in each item of Subparagraph 1, Paragraph 1 of this Article.

Article 5 Evaluation results of research assistants and assistant researchers are handled as follows:

- I. Research assistants and assistant researchers shall be evaluated by their unit every three years. Individuals who fail to pass evaluation shall not be granted raises or allowed to concurrently hold positions or teach courses **inside or outside NTNU (including in-service program, school of continuing education, and summer courses)** starting from the following academic year. The unit shall propose **an improvement plan for re-evaluation in two years**. If the same individual fails the re-evaluation, the unit shall submit a proposal **of not renewing** his/her employment to the **Level 3 Faculty Evaluation Committee**.
- II. Individuals may not submit applications for promotion if they failed to pass the most recent evaluation.

The adoption of the aforementioned evaluation information shall be based on semesters as a unit and calculated for three years following the semester of the previous evaluation. Various performances during the semester of evaluation shall be included the next evaluation.

If research assistants and assistant researchers are promoted, the evaluation schedule shall be recalculated on the effective date of the promotion.

The evaluation results of research assistants and assistant researchers who were appointed prior to September 29, 1999, shall be handled in accordance with Article 6.

Article 6 Evaluation results of associate researchers and researchers are handled as follows:

- I. Associate researchers and researchers shall be evaluated by their unit every five years. Individuals who fail to pass evaluation shall not be granted raises, allowed to concurrently hold positions or teach courses **inside or outside NTNU (including in-service program, school of continuing education, and summer courses)**, allowed to transfer, teach overseas, apply for retention without pay for research or study overseas, or allowed to serve as members of the Faculty

Evaluation Committee at any level or administrative supervisors of NTNU starting from the following academic year. Individuals who have not passed the evaluation shall apply for a re-evaluation within two years, and the preceding restrictions shall be removed in the year after passing the evaluation.

II. Individuals may not submit applications for promotion if they failed to pass the most recent evaluation.

The adoption of the aforementioned evaluation information shall be based on semesters as a unit and calculated for five years following the semester of the previous evaluation. Various performances during the semester of evaluation shall be included the next evaluation.

If associate researchers have been promoted, the evaluation schedule shall be recalculated on the effective date of the promotion.

NTNU associate researchers and researchers who have not passed the evaluation shall propose an improvement plan with the help of their unit, which shall be submitted for discussion in the Level 3 Faculty Evaluation Committee.

Article 7 Full-time researchers at each level are required to take three hours or more of academic ethics and integrity related education and training courses before receiving evaluation, and must provide documentary proof of taking the courses.

Article 8 Starting on August 1, 2016, newly-appointed full-time researchers of various levels are required to pass their evaluations during the following semester (the seventh semester) after three years of service, and the evaluation standards shall be the same as standards for research assistants and assistant researchers stipulated in Article 4.

Individuals who failed to pass evaluation shall not be granted raises, teach excess courses, or concurrently hold positions or teach courses inside and outside NTNU (including in-service program, school of continuing education, and summer courses) starting from the following academic year. The unit shall propose an improvement plan for re-evaluation within two years. If the same individual fails the re-evaluation, the unit shall submit a proposal to not renew his/her employment to the Level 3 Faculty Evaluation Committee.

New full-time researchers of various levels appointed after August 1, 2016, who meet evaluation exemption requirements set forth in the NTNU Regulations for Conducting Teacher Evaluations, may apply for exemption from evaluations in accordance with the regulations without the need to accept the aforementioned evaluation for newly-appointed researchers.

Full-time researchers of various levels appointed after August 1, 2016 who have passed the evaluation for newly-appointed researchers under this Article shall be evaluated in accordance with the provisions in Article 6 and Article 7 in future evaluations. If they fail the re-evaluation, their dismissal shall be determined in a resolution by the Level 3 Faculty Evaluation Committee.

Dismissals shall be determined by consensus from more than two-thirds of the Faculty Evaluation Committee (with more than two-thirds of the entire committee present). The Faculty Evaluation Committee shall submit the decision to competent educational authorities.

Article 9 For individuals who did not pass their evaluations, the adoption period for the re-evaluation of their performance in research and service shall be advanced by three years (for research assistants and assistant researchers), or five years (for associate researchers and researchers) after providing consultation or assistance. The adoption of performance may not begin on the first evaluation year.

Article 10 Researchers at all levels whose research performance qualifies for one of the following conditions during the evaluation period may apply for exemption for the current evaluation.

- I. Served as NTNU Research Chair Professor
- II. Received NTNU Exceptional Service Award
- III. To be retired in the following two semesters of the semester being evaluated.

Article 10-1 Associate researchers or above whose research performance qualifies for one of the following conditions may apply for lifelong exemption from evaluation.

- I. Elected as a member of Academia Sinica.
- II. Received the Ministry of Education Academic Award, National Chair Professor, National Award for Arts, or the Executive Yuan Cultural Award.
- III. Served as an NTNU Chair Professor.
- IV. Served as a lecturer for a renowned university domestically or abroad recognized by NTNU.
- V. Awarded research organization grants (hereinafter referred to as research project organization grants) from the research program (including industry-academic collaboration projects) of the Ministry of Science and Technology (formerly known as the National Science Council) for more than fifteen times. (A Class-A Research Award from MOST (formerly known as NSC) may be regarded as an organization grant for research projects; one Outstanding Research Award may be regarded as three organization grants for research projects). The project's execution period should be at least one year, and a maximum of one grant may be included in the calculation per year.

The standards for research project organization grants in the preceding Paragraph shall be adjusted to increase by one grant every two years from 10 grants starting in 2015, and adjustments shall be made as follows:

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

Article 11 Researchers who have been approved for work suspension with or without pay for over six months for reasons such as studying overseas, teaching overseas, temporary job transfer, taking parental leave, attending to relatives, or due to major incidents shall have their evaluations deferred after they return to work in accordance with the period of leave starting on the semester when the evaluation was due.

Female researchers who are pregnant, who have given birth (or miscarriage) may be given a two-year grace period for postponing evaluation without the requirement to apply for retention without pay.

Researchers who serve as NTNU Level 2 directors, deputy directors, or above may apply for deferred evaluation starting on the semester where the evaluation was due in accordance with their service period.

Data for the deferred evaluation shall be calculated from the semester of the previous evaluation. Various performances during the semester of evaluation shall be included the next evaluation.

Article 12 In the event that evaluation information provided by a researcher involves plagiarism, falsification, alteration, or other actions in violation of academic ethics or integrity, once verified, the researcher shall be deemed as having failed the evaluation and processed in accordance with related NTNU regulations.

Article 13 The college-level unit of researchers shall establish detailed guidelines for researcher evaluation. The guidelines shall be passed with resolutions sought from a NTNU General Meeting and implemented with the approval of the President.

Each college-level unit may follow their own regulations if they provide more strict regulations.

- Article 14 The unit of researchers shall deliver evaluation results of the Level 1 and Level 2 Faculty Evaluation Committee to the university-level Faculty Evaluation Committee, and notify the researchers of the evaluation results.
- Article 15 Starting on August 1, 2017, evaluation of full-time NTNU researchers shall be carried out in accordance with the standards set forth in the Regulations; the Regulations are applicable to researchers appointed after August 1, 2016.
- Article 16 Any matters that are not addressed in the Regulations shall be governed by other relevant policies of NTNU.
- Article 17 The Regulations were implemented after obtaining approval during an NTNU General Meeting; the same shall apply to all subsequent amendments.