

NATIONAL CENTRAL UNIVERSITY

Faculty Promotion Review Regulations

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Revised and approved by the 2nd Ad Hoc University Council Meeting of Academic Year 2003-2004 on June 14th, 2004

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Article 1

National Central University (NCU or “the University”) has formulated these Regulations in accordance with the *Guidelines for the Establishment of the Faculty Evaluation Committee* for the purpose of reviewing faculty promotions.

Article 2

Faculty members who submit applications for promotion shall meet the following criteria:

1. For lecturers to be promoted to the position of assistant professor, applicants must have served as a lecturer for at least three years or undertaken research work, a professional occupation, or a business position for four years in a field related to the applicant’s major after receiving a master’s degree. Applicants shall demonstrate excellence in teaching and service and shall have published an academic publication equivalent to a doctoral dissertation and possess independent research capabilities.
2. For assistant professors to be promoted to the position of associate professor, applicants must have served as an assistant professor for at least three years or undertaken research work, a professional occupation, or a business position for four years in a field related to the applicant’s major after receiving their doctoral degree. Applicants shall demonstrate excellence in teaching and service and shall have continuous research results and make

concrete contributions to their respective academic fields.

3. For associate professors to be promoted to the position of full professor, applicants must have served as an associate professor for at least three years or undertaken research work, a professional occupation, or a business position for eight years in a field related to the applicant's major after receiving a doctoral degree. Applicants shall demonstrate excellence in teaching and service and unique and continuous research results and shall have made significant concrete contributions to their respective academic fields.

The seniority of the faculty member (years served) shall be calculated starting from the date specified in their teaching certificate (however, if the starting date for calculating seniority specified in the teacher's rank certification is later than that of the teaching certificate, the teacher's seniority shall be calculated starting from the date specified in the teacher's rank certification) until July of the year the member submits the application for promotion.

Current faculty members who obtained a lecturer's certificate or teaching assistant certificate prior to the March 21st, 1997 amendments to the *Act Governing the Appointment of Educators* and who have continued to teach without interruption may apply for a qualifications screening based on the original guidelines before the amendment took effect. For example, the review for members who apply for a promotion to assistant professor after obtaining a doctoral degree will be carried out in accordance with the *Regulations Governing the Employment of Teachers*; the applications of applicants who wish to be promoted to associate professor will be reviewed based on the requirements for excellence in teaching and service and concrete contributions to their respective academic fields that are stipulated in the current guidelines.

Article 3

When a faculty member who has received approval from the University for leave with or without pay for the purpose of undertaking full-time advanced studies, research, or scholarly exchange applies for promotion, the member's seniority during this period shall be calculated at a maximum of one year. When a faculty member is deployed on assignment and has returned to the University to teach voluntarily during the period of deployment, the member's seniority during the period will be calculated at a maximum of two years.

Article 4

The documents submitted for review shall include three concrete achievements in teaching, research, and counseling and service attained after the applicant qualified for their most recent rank and within five years prior to the time of application. The reviews conducted by the faculty evaluation committee at each level must give applicants an opportunity to provide explanations.

Article 5

The applicant must not have failed the latest faculty member evaluation, and the following minimum criteria shall be met in regard to the three achievements in teaching, research, and counseling and service:

1. Research achievements:

1) Representative works:

- a) If the representative work submitted is a co-authored work by multiple persons, the applicant shall be the first author or the corresponding author. However, for research achievements in certain specific fields, if proof that the applicant is the main contributor can be submitted and the submission is approved by a professional review panel formed by the chair of the faculty evaluation committee, it can be used as a representative work.
- b) It shall be indicated on the representative work that the applicant is serving at the University. However, this stipulation does not apply to scholarly journals that do not follow this practice.
- c) The representative work shall be published in an important journal in the field. The collegiate level guidelines shall be formulated in accordance with the Collegiate Promotion Regulations.
- d) For monographs, an evaluation mechanism shall be established, and the monograph shall already be published or be certified by the publishing agency for publication in the future.

- 2) Other research achievements: applicants who apply for promotion to the position of full professor must have received at least two sponsorships for special research projects from the National Science and Technology Council (NSTC) and served as the principal investigator on those projects, or received a sponsorship from the ministry to carry out a multi-year research project and served as the principal investigator. Applicants who are applying for promotion to the position of associate professor must have received at least one sponsorship for a special research project from the NSTC and served as the principal investigator on the project. If the applicant has received sponsorships from foreign academic research organizations equivalent to the NSTC to conduct special research projects and served as the principal investigator, they may be considered as a part of the applicant's research achievements after approval from the professional review panel formed by the chair of the University's faculty evaluation committee. This stipulation does not apply to faculty from the Department of Sports and the Language Center.

2. Teaching achievements:

- 1) Instruction hours must meet the basic teaching hour requirements, except for faculty members who have received a special exemption for reduced teaching

- hours.
- 2) Student grades must be submitted on time.
 - 3) Applicants must not have received an instructional evaluation score that is lower than 3.5 for any two consecutive semesters. However, a minimum evaluation score of 3.3 is required for any course with a class size of 75 or more or any English-medium instruction course.
 - 4) The applicant shall be teaching at the University at the time of submitting the application.
3. Counseling and service achievements: The applicant shall actively participate and demonstrate enthusiasm in serving others in departmental, collegiate, and university-wide matters. The threshold for such achievements shall be determined at the collegiate level.

Article 6

Applicants shall select their own representative work. Submitted works shall meet the following requirements:

1. The representative work shall have been completed and published after the applicant qualified for their most recent rank and within five years of the time of application; reference works shall have been completed and published after the applicant qualified for their last rank and within seven years of the time of application. If the applicant experienced pregnancy or childbirth during this time, the time limit may be extended for two additional years.
2. Submitted academic work shall be related to the applicant's subject of instruction or professional background. It shall be original, and not be an anthological product involving rearranging, adding to or deleting from, compiling, or editing others' works or other non-research results.
3. Works must be monographs or monograph articles published or certified by the publisher for future publication; journal articles published in domestic or foreign scholarly journals or trade journals (should be e-journals that can be viewed and used by the public, and should have an official peer-review procedure), or papers scheduled to be published at a set date certified by the publisher of the relevant journal; papers published in conferences that have an official peer-review procedures in a bundle in the form of discs or online publications
4. A series of related publications may be integrated into one single representative work with appropriate explanations.
5. The representative work shall not be part of a graduate thesis. If the thesis has not been submitted for a promotion review in the past or the representative work is part of continuing research on the thesis, then upon the applicant's explanation at their own initiative and a professional review that indicates the work has a considerable degree of innovation, the representative work shall not be subject to this stipulation.

6. If a representative work is a co-authored work by multiple persons, only one person may submit the work for a promotion evaluation. The other authors shall forfeit the right to submit the academic work as a representative work. The applicant shall specify in writing which part of the work they participated in and shall obtain the co-authors' signatures as certification. If the co-authors are foreigners, a foreign language explanation regarding the co-authors' participation and contributions must be attached. However, the above stipulation shall not apply if any of the following criteria are met:
 - 1) The applicant is an academician of Academia Sinica who is exempt from submitting the co-authors' signed certificates of co-authorship.
 - 2) If the applicant is the first or corresponding author, they are exempt from submitting the co-authors' signed certificates of co-authorship for foreign non-first authorships or non-corresponding authorships. However, the contributions of the co-authors shall be specified in writing.
 - 3) 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's faculty evaluation committee (UFEC), the applicant shall be exempt from providing the signature.
7. If a representative work is similar in title or content to another representative work that has previously been submitted for and passed a qualifications review, the applicant shall provide a comparison of the similarities and differences between the two representative works. If there have been any changes to the title or content, the same shall apply.
8. Reference works: Other academic works, such as monographs, can be listed as reference works. The applicant's most significant professional or academic achievements should be selected for the promotion application. No more than three publications shall be submitted for external review.
9. Reference materials: Research results achieved after the applicant qualified for their last rank but before the submission of the application can be listed as reference materials.
10. If the applicant does not pass the evaluation and resubmits an application, at least one of the representative works submitted shall be different from those submitted for the previous application.

If any of the submitted works (as referred to in Paragraph 1) are journal articles published in a domestic or foreign scholarly journal or trade journal in accordance with the promulgated rules, the volume/issue number is not required if the article is made available online and assigned a DOI number or if the article is an early-access article and assigned DOI and ISSN numbers.

Article 7

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 for the qualifications

screening as specified in paragraph 3 of the previous article, then the work should be published within one year starting from the date the journal issued its acceptance certificate, and the applicant shall submit the academic work to the personnel office for checking and filing within two months after the work was published. If the work fails to be published within one year for reasons not attributable to the applicant, the extension shall be limited to three years starting from the date the journal issued its acceptance certificate.

Once the academic works specified in the preceding paragraph have been reviewed and approved, they may not be submitted for the next promotion evaluation.

If the applicant, due to their own actions, fails to publish their representative work within three years after the date the journal issued its acceptance certificate or fails to publish their representative work at all, the University shall reject the application and report such to the Ministry of Education (MOE). If the teacher’s qualifications are still under review by the Ministry, the Ministry shall reject the application. If the teacher’s qualifications have been accepted and the teacher has been issued a teaching certificate, the Ministry shall rescind the teacher’s qualifications and shall revoke or cancel their teaching certificate at the relevant rank.

Article 8

External promotion reviews of faculty work shall be categorized as “superior,” “excellent,” “good,” “fair,” and “unsatisfactory.” Each category shall correspond to a score range as shown in the table below:

Applicant’s research performance compared with others in the same field and rank		Superior (top 10%)	Excellent (top 11%~20%)	Good (top 21%~40%)	Fair (top 41%~60%)	Unsatisfactory (last 40%)
Score range	Highest	100	89	79	69	<59
	Lowest	90	80	70	60	–

At the collegiate level, special review categories shall be established and approved by the UFEC. The calculation of the grades received for the academic works shall be equal to the total added score received from all external reviewers divided by the number of submissions for external review submitted.

Article 9

Applicants who qualify for promotion shall submit relevant information such as their published works, academic work catalog, etc. according to the schedule stipulated in the Faculty Promotion Procedures table. Collegiate faculty evaluation committees (CFECs) shall be responsible for submitting works for external academic review. Works shall be submitted to at least six reviewers, and shall meet the following standards before being submitted to the departmental, collegiate, and University-wide faculty evaluation committees for further

screening:

1. For promotion to full professor: The applicant shall receive a review of “excellent” from at least five out of six (round up for decimals) external reviewers, or from at least two out of three (round up for decimals) external reviewers with at least one “superior.” The average score given shall be over 80.
2. For promotion to associate professor/assistant professor: The applicant shall receive a review of “excellent” from at least two out of three (round up for decimals) external reviewers, and the average score given shall be over 80.
3. For promotion to full professor for faculty from the Language Center and the Department of Sports, the applicant shall receive a review of “excellent” from at least five out of six (round up for decimals) external reviewers, or an “excellent” from at least two out of three (round up for decimals) external reviewers with at least one “superior.” For promotion to associate professor or assistant professor, the applicant shall receive an “excellent” from at least two out of three (round up for decimals) external reviewers.

Article 10

Faculty promotions are based on the evaluation of three results: research, teaching, and counseling and service. The evaluation criteria include the following percentages:

1. Research performance (50%): Research performance makes up 50% of the total score, and is divided into academic works and other research results. The weight assigned to academic works and to research results shall be determined individually by each college in accordance with the following ranges.
 - 1) Academic works (30-40%): The faculty evaluation committee at each level shall respect the review comments given by reviewers for the works submitted. Unless a concrete reason based on professional academic evidence demonstrating that the reliability and accuracy of professional external review is suspect can be provided in accordance with Article 12, the committees shall respect the judgement of external reviewers, whose decisions shall not be overturned by votes only.
 - 2) Other research results (10-20%): includes research project grants, industry-academia collaborations, patents, technology transfers, societal impact, domestic and international awards received, promotion of integrative or multidisciplinary research projects, leading students in participation in research competitions, and other academic honors or overall achievements.
2. Teaching performance (30%): includes instructional evaluation, teaching, being an advisor to graduate students, teaching honors, and other acts that promote teaching effectiveness.
3. Counseling and service performance (20%): includes providing counseling to students, mentoring, fulfilling university social responsibility, carrying out administrative duties,

and concrete contributions made in departmental and collegiate services.

For faculty at the Department of Sports, Language Center, and General Education Center, the percentage is as follows: teaching performance 35%, research performance 30%, counseling and service performance 35%.

Article 11

The UFEC shall grade applicants for promotion according to their performance in teaching, counseling, and service performance in addition to the research performance as graded at the collegiate level. If more than half of the attending committee members give the applicant a total score higher than 80, the applicant shall be approved for promotion.

Article 12

If members of the UFEC disagree with the applicant's research performance grade submitted by the college, the dispute shall be processed as follows:

1. Academic works:
 - 1) External review comments that contain clerical or mathematical mistakes or other similar obvious mistakes shall be returned to the corresponding reviewers for clarification before being submitted to the responsible CFEC for further consideration.
 - 2) Under any of the following circumstances, the committee members of the CFEC may, after receiving approval from over half of the attending members, submit the reviews in question for additional review by a professional review panel formed by a college-level unit and return the review to the reviewer in question for clarification: a) there are major discrepancies in the external review comments (e.g., contradictions between the scores and comments given involving research methodology and content), b) the review comments are too brief for a judgement to be made, c) there are major flaws in the review process, or d) the reliability and accuracy of professional external review is suspect. Afterwards, the professional review panel and the CFEC shall reconsider their decision, and after approval, submit the review for reevaluation by the UFEC.
 - 3) The aforementioned professional review panel shall consist of scholars and experts whose expertise pertains to the academic field of the submitted works.
2. Other research results: with the approval of over half of the attending members, the submission may be returned to the CFEC for reconsideration, and then submitted to the UFEC for reevaluation.

If, in regard to an external review comment as referred to in Paragraph 1, Subparagraph 1. any of the following circumstances prove to be true, the CFEC may remove the offending comment after a concrete reason is given; the removed comments shall be replaced with additional review comments from scholars and experts:

1. Issues described in Paragraph 1, Subparagraph 1, Item 1: review comments that contain

clerical or mathematical mistakes or other similar obvious mistakes in the score or comment given, as deemed by the CFEC after deliberation.

2. Issues described in Paragraph 1, Subparagraph 1, Item 2: the reliability and accuracy of the professional external review is suspect based on a concrete reason grounded in professional academic evidence, as deemed by the professional review panel and CFEC after deliberation.

For the qualifications review of any faculty member, the CFEC may only replace one external review comment in accordance with Subparagraph 2 of the preceding paragraph.

Article 13

After an applicant passes the promotion evaluation and receives approval from the president, the result shall be reported to the Ministry of Education for final approval and issuance of the new teaching certificate. During this time, the applicant shall teach in the original position. After receiving approval and the teaching certificate from the Ministry, a new letter of employment and salary adjustment will be issued to the applicant.

Article 14

Applicants who wish to dispute the judgement of the UFEC may appeal to the Teacher's Grievance Committee or seek remediation through an administrative appeal within thirty days of receiving the resolution.

Article 15

If any violation as stipulated in Article 44 of the *Regulations Governing Accreditation of Teacher Qualifications at Junior Colleges and Institutions of Higher Education* or the *Guidelines for Handling Violations of Teacher Qualification Regulations at Institutions of Higher Learning* is observed and confirmed in accordance with the established procedures, the applicant's qualifications for promotion shall be canceled and they shall be penalized in accordance with the University's regulations on violations of teacher qualification requirements and falsifying academic achievements.

Article 16

More stringent regulations regarding the requirements for teaching, research, and counseling and service performance shall be formulated at the departmental and collegiate level, and more specific methods and standards for evaluation shall be established. In regard to the assessment of research achievements, both quality and quantity shall be considered, and a rigorous external review mechanism shall be created. Departmental promotion guidelines and collegiate promotion guidelines shall be submitted to the UFEC for approval.

Article 17

Any matters not covered in these Regulations shall be administered according to the MOE's *Accreditation Regulations Governing Teacher Qualifications at Institutions of Higher Education* and other relevant regulations.

Article 18

These Regulations, and any amendments made to them, shall take effect upon approval by the University Council and the UFEC.

NATIONAL CENTRAL UNIVERSITY

Faculty Promotion Review Procedures

Revised by the 3rd Faculty Evaluation Committee Meeting of Academic Year 1993-1994 on December 27, 1993

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Approved by the 1st University Council Meeting of Academic Year 2022-2023 on November 15, 2022

Date	Responsible Party	Tasks	Attached Documents
Before December 1	Personnel Office	The office shall inform units to notify their faculty members to submit applications for promotion.	
Before January 20 (or the date set by the college/department)	Applicant	Applicants who qualify for promotion according to University regulations as well as the regulations stipulated by their department and college shall prepare the required documents and apply to their associated department.	<ol style="list-style-type: none"> 1. Promotion application form (statement and attachments included) 2. Academic publications 3. Required documents as stipulated in the college/department regulations for faculty promotion 4. Teacher qualification resume (to be filled out online)
Date set by the department	Department-level unit	The unit shall review qualifications and nominate qualified faculty members to the Departmental faculty evaluation committee for preliminary review.	
	Registrar Division, Office of Academic Affairs	The division shall verify that the applicant has submitted student grades on time and as stipulated.	
	Curriculum Division, Office of Academic Affairs	The division shall verify that the applicant meets the minimum number of teaching hours required and has not received an instructional evaluation score of less than 3.5 for any two consecutive semesters. However, a minimum evaluation score of 3.3 is required for any	

		course with a class size of 75 or more or any English-medium instruction course.	
	Research and Development Office	The office shall verify the number of NSTC projects for which the applicant has served as principal investigator.	
Date set by the department	Departmental faculty evaluation committee	The committee shall conduct a preliminary review to determine whether the applicant meets the criteria for promotion stipulated by the department. Applicants whose applications that are denied shall be notified within the stipulated time frame of the grounds for the denial and recommendations for remedying the denial; the Personnel Office shall also be informed.	<ol style="list-style-type: none"> 1. Promotion application form (statement and attachments included) 2. Academic publications 3. Required documents as stipulated in the college/department faculty regulations 4. Departmental faculty evaluation committee meeting minutes 5. Collegiate faculty evaluation committee meeting minutes
Date set by the college	College Faculty Evaluation Committee	The committee shall conduct a preliminary review to determine whether the applicant meets the criteria for promotion stipulated by the college. Applicants whose applications are denied shall be notified within the stipulated time frame of the grounds for the denial and recommendations for remedying the denial; the Personnel Office shall also be informed.	
Before February 1	College-level unit	The unit shall compile the applicants' documents and approve them in accordance with administrative procedures.	
Before February 28	Personnel Office	<ol style="list-style-type: none"> 1. The office shall check the preliminary review procedures of all NCU departments and colleges. 2. The office shall check to ensure that the applicant's performance in teaching, research, and counseling and service meet the requirements stipulated by NCU. 3. The office shall check to ensure that the applicants' Academic publications comply with regulations. 4. If an applicant's representative publications involve studies in specialized fields, the office shall submit their case to a professional review panel for deliberation. 	
Date set by the college	College-level unit	An external review of the applicant's publications shall be conducted.	

			(e.g., curriculum vitae, list of publications, description of case series studies, etc.) 5. Publication review form
		<ol style="list-style-type: none"> 1. The unit shall examine the external review result and transcribe it if it is handwritten before submitting it to the dean for confirmation. 2. The unit shall verify that the external review result is in compliance with Article 9 of the University's <i>Regulations Governing Full-Time Faculty Promotion Reviews</i> before submitting the result to the Faculty Evaluation Committees (all three levels) for deliberation. 3. Promotion-related attachments shall be marked with sticky tabs, bound with binder clips, and placed in the indicated order in the application form. 	<ol style="list-style-type: none"> 1. Promotion application form (statement and attachments included)
Date set by the department	Departmental faculty evaluation committee	Applicants who have passed the committee's secondary review carried out in accordance with the department's standards for promotion shall be nominated to the collegiate faculty evaluation committee. Applicants whose applications are denied shall be notified within the stipulated time frame of the grounds for the denial and recommendations for remedying the denial; the Personnel Office shall also be informed.	<ol style="list-style-type: none"> 2. Summary table 3. Publication review form 4. Departmental faculty evaluation committee meeting minutes 5. Collegiate faculty evaluation committee meeting minutes 6. Academic publications (representative and reference publications included)
Date set by the college	Collegiate faculty evaluation committee	Applicants who have passed the committee's secondary review carried out in accordance with the college's standards for promotion shall be nominated to the University Faculty Evaluation Committee. Applicants whose application is denied shall be notified within the stipulated time frame of the grounds for the denial and recommendations for remedying the denial; the Personnel Office shall also be informed.	<ol style="list-style-type: none"> 7. Other research achievements 8. Teaching achievements 9. Counseling and service achievements 10. Other reference documents
Before May 20	College-level unit	The unit shall check the documents of approved applicants, affix the unit's seal, and submit them for approval in accordance with administrative procedures.	
Before June 15	Personnel Office	<ol style="list-style-type: none"> 1. The office shall check the preliminary review procedures of all NCU departments and colleges. 2. The office shall check to ensure that the applicant's performance in teaching, research, and counseling and service meets the requirements stipulated by 	

		<p>NCU.</p> <p>3. If an applicant's representative publications involve studies in specialized fields, the office shall submit their case to a professional review panel for deliberation.</p>	
Before June 30	University Faculty Evaluation Committee	The committee shall deliberate over the nominations in accordance with the University's secondary review standards. Applicants whose application is denied shall be notified within the stipulated time frame of the grounds for the denial and recommendations for remedying the denial.	
Before July 31	Personnel Office	The office shall submit promotions to the President for approval.	University Faculty Evaluation Committee meeting minutes
Before August 31	Personnel Office	The office shall request the issuance of certificates from the Ministry of Education.	Teacher qualification resume (hard copy)
Before January 31	University/collegiate Faculty Evaluation Committee, Personnel Office	Second application submission for publication review, collegiate faculty evaluation committee review, University Faculty Evaluation Committee review, President's approval, issuance of certificate	