

Yuan Ze University Guidelines for External Review of Faculty Promotion

September.13, 2001, Approved by the 1st Faculty Evaluation Committee of School of the 1st Semester of 2001 School Year
December.12, 2001, Amended and Approved by the 4th Faculty Evaluation Committee of School of the 1st Semester of 2001 School Year
July 17, 2003, Amended and Approved by the 5th Faculty Evaluation Committee of School of the 2nd Semester of 2002 School Year
December.10, 2003, Amended and Approved by the 3rd Faculty Evaluation Committee of School of the 1st Semester of 2003 School Year
January 18, 2007, Amended and Approved by the 5th Faculty Evaluation Committee of School of 2006 School Year
April 15, 2009, Amended and Approved by the 6th Faculty Evaluation Committee of School of 2008 School Year
January 13, 2011, Amended and Approved by the 4th Faculty Evaluation Committee of School of 2010 School Year
June 26, 2013, Amended and Approved by the 8th Faculty Evaluation Committee of School of 2012 School Year
June 21, 2017, Amended and Approved by the 9th Faculty Evaluation Committee of School of 2016 School Year
May 23, 2018, Amended and Approved by the 6th Faculty Evaluation Committee of School of 2017 School Year
November 7, 2018, Amended and Approved by the 2nd Faculty Evaluation Committee of School of 2018 School Year
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1. “YZU Guidelines for External Review of Faculty Promotion” (hereafter, ‘these regulations’) are established to integrate the procedures and to keep the standards of external review.
2. The University’s database of professionals who are eligible to be the external review committee members to evaluate faculty promotion:
 - (1) A database of professionals who can evaluate the specialized publications or works are in the academic field may be offered by the faculty applying for promotion. A database of professionals who can evaluate creative works and evidence of achievement in cultural or artistic creation and exhibition field or in athletic competition field may be offered by the faculty applying for promotion. With these recommended lists, Faculty Evaluation Committee of College will come up with a database of professionals who are eligible to be the external review committee members in these fields.
 - (2) Faculty Evaluation Committee of College and Office of Research And Development will come up with a database of professionals who are eligible to be the external review committee members in the technological research and development field.
 - (3) Faculty Evaluation Committee of College and Office of Academic Affairs will come up with a database of professionals who are eligible to be the external review committee members in the teaching practice and research field.

The database of professionals who are eligible to be the external reviewers shall consist of 30 members (For faculty who possess expertise in a professional field, the number of external reviewers shall not be less than fifteen). In the technological research and development field, Faculty Evaluation Committee of College will come up with a database of 5 professionals who are eligible to be the external reviewers; Office of Research And Development will come up with a database of 25 professionals who are eligible to be the external reviewers. In the teaching practice and research field, Faculty Evaluation Committee of College will come up with a database of 5 professionals who are eligible to be the external reviewers; Office of Academic Affairs will come up with a database of 25 professionals who are eligible to be the external

reviewers. The list of external reviewers shall be approved by Faculty Evaluation Committee of School.

A database of external review committee members shall be established based on professional considerations. Selection shall prioritize professors recognized by the Ministry of Education or individuals with equivalent qualifications, such as researchers from national research institutions. The selection process must ensure fairness and impartiality.

Applicants undergoing the qualification review shall not provide a list of suggested external reviewers but may submit a list of up to three individuals to be excluded. External reviewers must not include the following individuals:

- (1) The applicant's research advisor.
- (2) Co-authors or research collaborators of the applicant's works.
- (3) Currently affiliated with the same institution as the submitting faculty, or previously served at Yuan Ze University during the same period as the submitting faculty.
- (4) Individuals who have a familial relationship with the applicant as specified in Article 32, Paragraph 1 of the Administrative Procedure Act.

If any of the above rules are violated and the reviewer fails to recuse themselves, the review result shall be deemed invalid. However, valid evaluations from other reviewers may still be counted toward the final review outcome. If the number of valid external reviews is insufficient, the missing number shall be made up by conducting additional external reviews.

3. Faculty shall prepare relevant materials for teaching, research, academic advice and other services after obtaining the qualification of their current position, and submit an application for promotion review in October of each year to their affiliated department (or the same level) based on the schedule specified by the University.

Faculty applying for promotion whose performance in teaching, research, academic advice and other services shall be evaluated by Faculty Evaluation Committee of Department (or the same level) in accordance with relevant regulations stipulated by each department (or the same level). The above-mentioned score of faculty's performance in teaching, academic advice and other services shall be over 80 points for each; their research performance shall also be evaluated by Faculty Evaluation Committee of Department (or the same level) first before being sent to Faculty Evaluation Committee of College (or the same level) for recommendation.

Faculty Evaluation Committee of College (or the same level) shall review the score of faculty's performance in teaching, academic advice and other services based on the results from Faculty Evaluation Committee of Department (or the same level); Faculty Evaluation Committee of College (or the same level) shall also evaluate faculty's performance in teaching, research, academic advice and other services. The above-mentioned score of faculty's performance in teaching, academic advice and other services shall be over 80 points for each; their research performance shall also be evaluated by Faculty Evaluation Committee of College (or the same level) first before being sent to Faculty Evaluation Committee of School for external review.

4. For faculty who have passed the evaluation by Faculty Evaluation Committee of College (or the same level) mentioned in the previous article, the affiliated college shall prepare and submit the

following documents to Faculty Evaluation Committee of School for external review:

- (1) List of faculties applying for promotion evaluation.
 - (2) The Faculty Promotion Review Checklist shall be submitted to the Secretariat Office for verification of the faculty evaluation results for the most recent three years.
 - (3) The Faculty Promotion Review Checklist of Works shall be submitted to the Office of Research and Development for verification of the submitted works.
 - (4) List of recommended reviewers of external review (shall be confidential) shall be approved and filed by the Faculty Evaluation Committee of School.
 - (5) Teacher Qualification Accreditation Form.
 - (6) Checklist of documents for promotion application.
 - (7) Seven copies of documents of applicants applying for promotion in research field (include representative and reference publications).
 - (8) Two copies of documents of the achievements of teaching, research, academic advice and other services.
 - (9) Seven copies of co-author certificate (not for those who work independently).
 - (10) Statements regarding the relevance of representative publications and doctoral dissertation or representative publications of previous promotion. If the submitted representative work is similar in name and content to a qualified representative work that has previously been submitted for an accreditation review, the faculty shall attach a listing of the differences and similarities of the current representative work and the previously qualified representative work at the time they submit for the review; seven copies of the listing of the differences shall be provided for the review. The same requirement shall apply, if there has been any change in the name or content of a representative work. If none, this requirement is waived.
 - (11) Avoidance list of Publication Review Committee (no more than 3 persons).
 - (12) Minutes of Faculty Evaluation Committee of Department (or the same level) or of Faculty Evaluation Committee of College (or the same level).
5. Faculty may, in accordance with their areas of expertise or specialization, submit copies of their specialized publications, creative works, evidence of achievement, and/or technical reports to demonstrate that their research or development achievements have made contributions to theory, practice, or teaching in their specialized fields, for an accreditation review. These specialized publications, creative works, evidence of achievement, and/or technical reports shall meet the following requirements:
- (1) The specialized publications or works submitted for an accreditation review shall be the faculty's individual original work, and not simply produced by rearranging, adding to or deleting from, compiling, and/or editing the works or other non-research results of any others. Research results from projects funded by the National Science and Technology Council under the Humanities and Social Sciences Classic Translation and Annotation Program that meet the aforementioned requirements may be submitted as works for external review.
 - (2) If the specialized publications or works are in a language other than in Chinese, the faculty shall attach an abstract written in Chinese. If the specialized publications or works are written

in a foreign language other than English, the abstract may be written in English instead. If it has not been possible to find reviewers in Taiwan who are in an associated field and are proficient in the foreign language in which the specialized publications or works are written when selecting reviewers, the University may request a complete translation of the works into either Chinese or English.

- (3) The applicant may submit up to five works for review and must designate one as their representative work. The representative work must list the applicant as the first author or corresponding (responsible) author and must be published under Yuan Ze University's affiliation. The remaining works will be considered reference works. Related studies forming a series may be combined as a single representative work, with a maximum of four combined works, provided that the total number of representative and reference works does not exceed five. If specific colleges (or the same level) or departments (or the same level) have separate regulations regarding the number of works required for review, those regulations shall prevail. For the specialized publications or works that have previously been unqualified for the accreditation review, when resubmitting an application, more than one additional or replacement work shall be submitted for an accreditation review. Academic or professional achievements that do not meet the criteria for representative or reference works may still be provided by the applicant as supplementary reference materials for the purpose of review.
- (4) The specialized publications or works shall have been published or issued (or accepted) since the applicant was accredited at their current level. If seniority that the applicant accrued while teaching overseas in a full-time position has been taken into account as seniority for promotion, the specialized publications or works, creative works, evidence of achievement, or technical reports that were produced when the applicant was teaching overseas that are submitted for an accreditation review may be amalgamated.
- (5) The specialized publications or works shall be either: monographs already published and distributed or which have been accepted for publication and distribution by a publishing house which has issued a certificate to this effect; journal articles published in domestic and/or foreign scholarly journals or professional journals, or e-journals with a formal peer-review process and that may publish and use such articles, or articles that have been accepted for publication by a journal as just described, in which case the applicant shall submit documentary evidence that the journal will be issued within a fixed period; or papers that have been through a formal peer-review process included in proceedings of a domestic and/or overseas conference, and made public and distributed in the form of a volume, or CD, or online.
- (6) If the specialized publications or works is an offprint of a paper published in an academic journal and it clearly indicates the journal name, volume, issue, and date of publication, there is no need to attach the original journal for review. If such information is not clearly indicated, a photocopy of the cover and table of contents of the original journal must be attached for verification. For works that have been accepted and are scheduled for regular publication, proof of acceptance must be provided. For representative and supporting works that are published as Open Access, a public URL must be provided for verification. For conference

papers, a copy of the publication page (including publisher, distributor, date of publication, etc.) from the conference proceedings must be submitted. "Published and publicly released" refers to works printed and distributed by a publisher or book company, with the copyright page clearly indicating the author, publisher, distributor, publication date, price, and other relevant information. A publication certificate issued by the publisher or book company must be attached. Self-published works or those that do not meet the above criteria will not be accepted.

- (7) The representative work submitted for review must be related to the subject area taught by the applicant and must not be part of a degree thesis. However, if the degree thesis has never been used for promotion review, or if the work is a continuation of the degree thesis, the applicant may submit it with an explanation. If, upon professional review, the work is recognized as sufficiently innovative, it will be accepted. If the submission is based on a degree diploma and the highest degree thesis has never been used for review, the thesis of the highest academic degree may be submitted as a substitute for specialized scholarly work.
 - (8) If the representative work is co-authored, only one of the authors may submit it for review. Other co-authors must waive their right to submit the same work, achievement certificate, or technical report as their representative work for review. The applicant must provide a written and specific explanation of their individual contribution, certified by the signatures of the co-authors. If any co-author is unable to provide such certification due to specific reasons, the applicant must submit a written explanation detailing their contribution and the reason for being unable to obtain the co-author's signature. This requirement may be waived upon approval by the Faculty Evaluation Committee of School. Applicants who are Academicians of Academia Sinica are exempt from submitting co-author certification. Applicants who are the first author or corresponding author are exempt from obtaining co-author certification for foreign co-authors who are not first or corresponding authors.
 - (9) If the submitted representative work is similar in name and content to a qualified representative work that has previously been submitted for an accreditation review, the faculty shall attach a listing of the differences and similarities of the current representative work and the previously qualified representative work at the time they submit for the review. The same requirement shall apply, if there has been any change in the name or content of a representative work.
 - (10) Regulations for external review stipulated by other departments (or the same level) and colleges (or the same level).
6. If faculty submit evidence for an accreditation review that their representative work has been accepted for publication which will be published within one year from the date that the journal issued its letter of acceptance or similar notification, the faculty shall submit a copy of the work to the University's Personnel Office for checking and filing within two months after the work is published. If for some reasons not attributable to the faculty the work is not able to be published within that one year, the maximum possible extension period is three years from the date that the journal issued its original letter of acceptance or similar notification.

The University's Personnel Office shall be responsible for tracking and verifying whether the faculty under review has indeed published the specified scholarly work within the period indicated in the letter of acceptance.

If there are reasons attributable to the faculty for the failure to publish within three years of the date of the publication's letter of acceptance, the University shall reject the application and report the matter to the Ministry to disqualify the accreditation. If the teacher's accreditation has been approved and the faculty has been issued a Teacher's Accreditation Level Certificate, that accreditation will be nullified by the Ministry and they will be required to return the Teacher's Accreditation Level Certificate for that teaching level and it will be cancelled.

7. In addition to representative works and reference materials, all personal professional or academic achievements from the time of obtaining the previous level of teacher's certification until the current application for promotion may be included as reference materials for an accreditation review. The reference materials shall be listed in a categorical manner.
8. After the Chairperson of Faculty Evaluation Committee of School selects five anonymous external reviewers, the staff of Personnel Office in charge of the affairs shall contact them to carry out the external review process.

For the promotion of faculty in the technological research and development field, the Chairperson of Faculty Evaluation Committee of School shall select two external reviewers from the five anonymous external reviewers provided by Faculty Evaluation Committee of College. If three to four anonymous external reviewers are provided, one shall be selected. If only one to two anonymous external reviewers are provided, no selection shall be made, and the remaining external reviewers shall be supplemented by selecting from the anonymous external reviewer list from the database of professionals provided by Office of Research And Development.

For the promotion of faculty in the teaching practice and research field, the Chairperson of Faculty Evaluation Committee of School shall select two external reviewers from the five anonymous external reviewers provided by Faculty Evaluation Committee of College. If three to four anonymous external reviewers are provided, one shall be selected. If only one to two anonymous external reviewers are provided, no selection shall be made, and the remaining external reviewers shall be supplemented by selecting from the anonymous external reviewer list from the database of professionals provided by Office of Academic Affairs.

9. Faculty who decide to file an appeal or an administrative appeal due to the failure of passing the accreditation review, they may submit a new work for a second review during the appeal period. If the new work passes the review, it will be considered as withdrawing the case from an appeal or an administrative appeal. The effective date of the faculty's promotion will be determined by the timeline when the new work is submitted, which shall be approved by the Ministry of Education.
10. Faculty applying for promotion may provide a list of not more than three experts to be avoided from serving as external reviewers.

Before conducting the review, each external reviewer must confirm that there is no conflict of interest requiring recusal in connection with the faculty promotion review and must sign a

declaration to that effect.

The identities of external reviewers shall be kept confidential. To ensure confidentiality, review materials returned by external reviewers shall be compiled, and any handwritten comments shall be transcribed and proofread.

The originals of all external review opinion forms shall be archived by the University's Personnel Office. A typed copy of the external review opinions (with reviewer names redacted) shall be submitted to the Evaluation Committee of School for procedural review. When necessary, a copy of the external review opinions may be provided to the faculty concerned, who may then submit an appropriate explanation or rebuttal for the Evaluation Committee's consideration during the evaluation process.

11. If a faculty either personally or through another person makes any requests or lobbies on the faculty's behalf, or offers any bribe or enticement or makes any threat, or in any other way interferes with any reviewer or accreditation review procedure and the circumstances are serious, Personnel Office shall refer the case to the Academic Ethics and Integrity Committee of School. Upon investigation and verification by the investigation team and confirmation by the Committee, the qualification review process shall be immediately terminated. The case shall then be forwarded to the all level of Faculty Evaluation Committees for a decision. From the date the decision is notified, the applicant shall not be permitted to submit any promotion application for a period of one to two years.
12. Matters not covered in these regulations shall be handled in accordance with the relevant regulations of the Ministry of Education (MOE) and the University; if the regulations of the MOE are amended and the University's regulations have not been revised, they shall be handled in accordance with the amended regulations of the MOE.
13. These regulations are adopted by Faculty Evaluation Committee of School, as shall amendments when they are made.

The English translation is for reference only. In case of any discrepancy between Chinese version and English version, the Chinese version shall prevail.