

NATIONAL TAIWAN UNIVERSITY

Checklist of Required Documents for Faculty Member (Research Fellow) Promotion Application

Amended on October 20, 2021

Case No.	College (center)	Department (division, graduate institute, degree program, office, or center)	Name	Job title	Position to be promoted to	Promotion effective from
Department: _____ (_____ cases in total)						(Ex. 08/2021)
College: _____ (_____ cases in total)						

Required documents	Notes	Items for review	Review results			
(Place documents in the following order)			Ex.	Department-level	College-level	Personnel Office
1. Format review at the Personnel Office						
1. Checklist of required documents	<p>1. For an item-by-item review by the department office and the processing clerk at the Personnel Office, please arrange applications in the following order: Full professors/research fellows, associate professors/research fellows, assistant professors/research fellows, etc.</p> <p>2. The Checklist is available for download on the Personnel Office website (http://www.personnel.ntu.edu.tw/english/ > Procedures and Forms > Employment Division > Promotion Downloads > Required Documents Checklist for Promotion Applications).</p>	For a format review by the Personnel Office	<i>Submitted</i>			

2. A photocopy of both sides of your National ID (or passport and ARC)	1. Foreign nationals shall submit a photocopy of both their passport information page and alien residence certificate (ARC). 2. Must be printed on A4 paper.	National ID No. (or ARC No.) and date of birth (mm/dd/yyyy)	<i>A123456789</i> <i>10/10/1981</i>			
3. A photocopy of the highest diploma	1. The document must include the alma mater, department/division, and month/year of graduation. 2. Must be printed on A4 paper.	Highest diploma and month/year of graduation	<i>Ph.D. in _____,</i> <i>Harvard University,</i> <i>USA</i> <i>(June 2012)</i>			
4. A photocopy of the teaching certificate for the current position [not required for research fellows]	Must be printed on A4 paper.	Teaching certificate, month/year of issuance, certificate serial number	<i>Associate professor,</i> <i>August 2000,</i> <i>12201</i>			
5. A photocopy of the letter of appointment for the current position held for at least three years, or an original copy of the certificate of service (either one is sufficient)	1. Work experience supporting the application for promotion (please indicate the beginning and end date of the employment): (1) Photocopy of the letter of appointment for the current position held for at least three years: The current position must have been held for at least three years, beginning from the date of issuance of the teaching certificate for the current position (e.g., an applicant seeking to be promoted to full professor shall submit their letter of appointment as an associate professor for the recent three-year period). (2) Original copy of the certificate of service: Proof of years of service demonstrating eligibility for	Current position and previous experience	<i>Associate professor,</i> <i>Department of _____,</i> <i>NTU</i> <i>August 2001–</i>			

	<p>promotion consideration (e.g., an applicant who has served as an associate professor for only one year may submit proof of another seven years of service and apply for promotion to full professor under the term of “eight years of post-doctoral service”).</p> <p>2. A photocopy of the letter of appointment for the coming academic year <i>OR</i> proof of pay raise (issued by the Personnel Office around June each year; the processing clerks for each college (center) shall make photocopies for retention at the Personnel Office).</p>					
No documentation required	<p>1. Total years of service demonstrating eligibility for promotion consideration (the period of time from the date of appointment to the current position to the expected date of promotion; up to 1 year of continuing studies and 2 years of temporary transfer may be counted).</p> <p>2. If the years of service demonstrating eligibility for promotion consideration include periods of full-time continuing studies or temporary transfer, the exact duration of such periods shall be indicated.</p>	Years of service	<p><i>Five years of service as an associate professor</i></p> <p>OR</p> <p><i>Four years of post-doctoral service;</i></p> <p><i>Full-time continuing studies during August 2001–July 2002</i></p>			
No documentation required	Regulatory basis for promotion (Articles 16–18 of the <i>Act Governing the Appointment of Educators</i>).	Regulatory basis for promotion	<i>Article 18, Paragraph 2</i>			

No documentation required	Having passed the most recent evaluation or having been granted evaluation-exempt status by the University (or the current evaluation period extends beyond the expected date of promotion).	Having passed the most recent evaluation	<i>Passed in __ (month) __ (year)</i> OR <i>Exempt from evaluation in __ (month) __ (year)</i> OR <i>The expected date of promotion to associate professor (__ [month] __ [year]) is within the current evaluation period. The evaluation is considered passed if the promotion is approved.</i>			
No documentation required	Whether the applicant is actually teaching at the University when the promotion application is submitted to the faculty evaluation committee of their department, division, or graduate institute ; if not, please indicate the period of teaching.	Currently teaching at the University?	Y			
6. A list of publications for review	1. The representative work shall have been published after the appointment to the current position and within the most recent five-year period (up to the expected date of promotion). Different regulations may be formulated by each college (center) and department (division, graduate institute, degree program, office, or center) and shall take	The list of publications is consistent with the representative and reference works submitted for review.	<i>Submitted</i>			

7. Representative and reference works	precedence. Such regulations or resolutions shall be noted on the list.	1. Number of representative and reference works	<i>Representative work: 1; Reference works: 3</i>			
(1) Letter of acceptance (for unpublished works)	2. Reference works shall have been published after the appointment to the current position and within the most recent seven-year period (up to the expected date of promotion). Different regulations may be formulated by each college (center) and department (division, graduate institute, degree program, office, or center) and shall take precedence. Such regulations or resolutions shall be noted on the list.	2. Date of publication/release of the representative work	<i>Published/ Accepted in November 2019</i>			
(2) Cover page and table of contents (for representative works without indication of the exact month/year of publication)	3. Monographs which have been published or are nearing publication (an affidavit from the publisher is required); papers published or soon to be published on a specific date (an affidavit from the journal is required) in an open-access scholarly/professional electronic journal, either domestic or international, with formal review procedures; papers accepted by a domestic or international conference with formal review procedures and included in the conference proceedings which are published in a book, made available online, or distributed on a CD-ROM.	3. Is the date of publication/release within the eligible time frame?	<i>Y/N</i>			
		4. Is the signature work a monograph?	<i>Y/N</i>			
(3) A written statement of contribution (for works not published as first author, corresponding author, or equally contributing author).	4. In order to be considered valid, works submitted for the annual promotion review must be published or accepted for publication by the publisher by the date on which the department-level faculty evaluation committee convenes.	5. Was the required written statement submitted for a representative work for which the applicant was not the first author, corresponding author, or equally contributing author? <i>(The written statement may be</i>	<i>Y/N</i>			

	5. For works containing no indication of the exact time of publication, the cover page, table of contents, or other documents that can prove the date of publication must be submitted for review.	submitted at a later date.)				
8. An original copy of the affidavit signed by each co-author	<ol style="list-style-type: none"> 1. Each co-author is required to sign and affix their seal to the affidavit [not required for single-author works]. 2. The affidavit format is available for download on the Personnel Office website (http://www.personnel.ntu.edu.tw/english/ > Procedures and Forms > Employment Division > Promotion Downloads). 3. Please refer to the regulations concerning the faculty promotion review for Academic Year 2021-22 for additional notices. 	Were affidavits signed by all co-authors? (The affidavits may be submitted at a later date.)	Y OR <i>Not co-authored</i>			
9. An original copy of the Resume for the Teaching Qualification Review [not required for research fellows]	<ol style="list-style-type: none"> 1. Please affix a 2”-by-2” headshot and a signature on the copy. 2. Please download the resume from the Teaching Qualification Reporting System for Higher Education maintained by the Department of Higher Education, Ministry of Education (https://www.schprs.edu.tw/). (Please use IE 11 or later, or the latest version of other browsers to apply for an account. Once the account is approved, applicants may begin filling out the resume. Read the instructions before using the system.) For the “current position” field, please fill 	Correctness of the Resume for the Teaching Qualification Review; whether the resume is submitted in the system	<i>Information is correct; resume submitted</i>			

	in the position to be promoted to. Do not include any publications that do not meet the criteria for representative or reference works.					
No documentation require	Compliance with the teaching and service standards set by each department.	Compliance with teaching and service standards	Y			
Seal (signature) of processing clerk			○ ○ ○ 12/01/2021 (mm/dd/yyyy)			
Contact No.			33660000			

2. Review by the University Faculty Evaluation Committee						
1. List of faculty members recommended for promotion	<p>1. The list shall be collated by each department (division, graduate institute, degree program, office, or center) and college (center) to include all faculty members applying for promotion in the following order: full professors/research fellows, associate professors/research fellows, assistant professors/research fellows, etc., as well as the order (priority) of recommendation for each applicant.</p> <p>2. Please download the list from the Personnel Office website (http://www.personnel.ntu.edu.tw/english > Procedures and Forms > Employment Division > Promotion Downloads).</p>	For colleges (centers) with a promotion limit				
		1. Promotion quota assigned to the college by the University	10	N/A		
		2. Is the number of recommendations within the assigned quota?	Y	N/A		
		3. Special promotion quota used?	Y	N/A		

2. Required documents checklist	<p>The checklist items must be arranged in the same order as submitted to the Personnel Office for format review.</p> <p>The processing clerks of each department (division, graduate institute, degree program, office, or center), college (center), and the Personnel Office shall verify the submitted documents and check or fill out each field of the checklist.</p>	For review by the University Faculty Evaluation Committee	<i>Submitted</i>			
3. ____ original copies (and one photocopy each) of the Faculty Publications Review Opinions Form	<p>1. Number of reviewers required: In principle, a combined external review shall be conducted with at least five reviewers involved. If the department and college choose to conduct separate reviews, three reviewers each are required for the department- and college-level reviews (i.e. six reviewers in total). Reviewers shall be external scholars or experts and shall comply with the applicable recusal regulations concerning conflicts of interest.</p> <p>2. A score-based review opinion form shall be adopted. Please add a separate note if holistic scoring (instead of by-item scores) is adopted.</p> <p>3. A photocopy of each of the review opinion forms shall be made with the reviewer's name, affiliation, and job title redacted (NB: do not redact the review date).</p> <p>4. The download link for the review opinion form is the same as above.</p>	Level of external review and number of reviewers	Level 2/College-level: 3 ; Department-level: 3			
		Are the number and titles of representative works accurate?	<i>Y</i>			
		Is the date of review before the date of submission to the Faculty Evaluation Committee?	<i>Y</i>			
		For score-based opinion forms, are the by-item scores up to the required standard, and is the total score correct? For grade-based opinion forms, is the recommendation grade indicated?	<i>Y</i>			

		Anomalies in the review opinions?	<i>Yes: (explanation required)</i>			
4. Written response to external reviewers' opinions	A written response from the applicant and a letter of opinion from the college shall be included if negative opinions (or low scores) were given by external reviewers. [Not required for applicants with no negative opinions or low scores]	Negative opinions (or low scores)?	<i>Yes: (explanation required)</i>			
5. Concrete outstanding achievements and description of the achievements [not required]	Required for applicants with less than four years of service as an associate/assistant professor or less than 10 (5) years of post-doctoral service.	An explanation is required for applicants without the required years of service.	<i>Submitted</i>			
6. Faculty Promotion Recommendation Form (one copy)	<ol style="list-style-type: none"> The quorum and passing threshold for each department- and college-level faculty evaluation committee shall be handled in accordance with the faculty promotion regulations of each department and college. The number of recommended applicants and the order (priority) of recommendation shall be indicated under section 6 "College (Center) Recommendation Opinions" of the recommendation form. Please affix a photo under the "Faculty Member's Promotion Information—Basic Information Sheet" section of the Faculty Promotion Recommendation Form. The download link for the recommendation form is the same as above. 	Were the quorum and passing threshold met for the department- or college-level faculty evaluation committee?	<i>Y</i>			
		Number of total applicants recommended to the college by the department, and order (priority) of the particular applicant	<i>3-1</i>			
		Comprehensiveness of the college's holistic opinions; number of	<i>10-1</i>	<i>N/A</i>		

		applicants recommended to the University by the college, and order (priority) of the particular applicant				
7. Faculty Recommendation Qualifications Review Form (one copy) [not required for research fellows]	<ol style="list-style-type: none"> 1. Please leave the “degree qualifications” field blank. 2. The “University Review Procedures” section shall be filled out by the Personnel Office. 3. The applicant must affix a seal and signature. 	Applicant’s seal and signature; accurate information of the level, category, and qualifications of the review	<i>Submitted</i>			
8. A 2”-by-2” headshot [not required for research fellows]	Please indicate the applicant’s name and affiliated unit on the flip side of the photo and store it in an envelope for attachment to the teaching certificate at a later date. Do not use paper clips, as rusty paper clips tend to discolor and bend the photo.	Headshot for the teaching certificate	<i>Submitted</i>			
9. List of Promoted Faculty Members with New Faculty Rank and Seniority Pay Points	<ol style="list-style-type: none"> 1. The list shall be compiled by the Personnel Office after it concludes its preliminary format review. 2. The list shall be signed by the competent department chair and college dean. 	New faculty rank and seniority pay points approved	<i>Submitted</i>			
Seal (signature) of processing clerk			○○○ 03/01/2021 (mm/dd/yyyy)			
Contact No.			33660000			

Notes:

1. Each college (center) only needs to provide one List of Faculty Members Recommended for Promotion. However, a separate Checklist of Required Documents for Faculty Member (Research Fellow) Promotion Application is required for each applicant for promotion.
2. Please submit this form to the Personnel Office together with the application documents.