

NTUB Guidelines for Staff Reward and Penalty

Reviewed and approved at the 4th Administrative Meeting of the 2nd Semester, Academic Year 2000, on June 21, 2001.

Approved and filed by the Ministry of Education in Letter No. Tai (90) Ren (II) Zi No. 90127241, dated September 20, 2001.

Reviewed and approved the amendments at the 6th Administrative Meeting of the 1st Semester, Academic Year 2008, on January 15, 2009.

Reply from the Ministry of Education in Letter No. Tai Ren (II) No. 0980034423, dated March 11, 2009, concurring with the amendments and filing them for record.

Reviewed and approved at the 3rd Administrative Meeting of the 2nd Semester, Academic Year 2008, on April 23, 2009.

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Ministry of Education Letter No. Tai Jiao Ren (III) No. 1080149674, dated October 21, 2019, agreeing and filed for record.

- I. To handle staff recognition and discipline cases, these Guidelines for Staff Recognition and Discipline of National Taipei University of Business (hereinafter, "these Guidelines") are established pursuant to Article 13, Paragraph 3 of the Enforcement Rules of the Civil Service Performance Evaluation Act. Unless otherwise provided by laws or regulations, staff recognition and discipline shall be carried out in accordance with these Guidelines.
- II. Where a unit identifies special merits or demerits of its staff members, it shall, in keeping with the principles of comprehensive review of actual performance and balanced rewards and punishments, conduct objective and impartial evaluations and grant appropriate recognition or discipline to foster team spirit and improve work efficiency.
- III. Standards for Recognition:
 - (I) A Commendation may be awarded under any of the following circumstances:
 1. Providing suggestions to improve primary (or managed) duties that are adopted.
 2. Acting in another person's post responsibly with outstanding performance: for more than four weeks but less than three months, one Commendation; for three months or more but less than six months, two Commendations. (Unless the workload is heavy and prior approval has been obtained, the number of commendations may not be split).
 3. Winning a top-three award in competitions or activities and bringing honor to the University.
 4. Engaging in research and development and achieving concrete results that promote operational reform.
 5. Refusing improper gifts, as verified.
 6. Handling matters outside one's own responsibilities with diligence and excellent results.
 7. Conscientiously handling important matters assigned by higher authorities or commissioned/assisted by relevant agencies or units, completing tasks satisfactorily with good performance.
 8. Other exemplary conduct or deeds meriting recognition.

- (II) A Merit may be recorded under any of the following circumstances:
1. Drafting laws/regulations or important plans that are adopted and effectively implemented.
 2. Proposing concrete improvement plans for primary (or managed) duties that, once adopted, produce definite results.
 3. Proposing concrete reform plans for special projects that, once adopted, prove valuable.
 4. Executing important assignments from higher authorities, overcoming difficulties, and completing tasks satisfactorily with significant results.
 5. Engaging in research and development and achieving significant concrete results that promote operational reform.
 6. Organizing international or national conferences with thorough planning and successful completion, achieving notable results.
 7. Handling urgent tasks or contingencies promptly and satisfactorily, achieving notable results.
 8. Reporting or assisting in uncovering major illegal or fraudulent cases.
 9. Refusing bribes or other improper benefits, with exemplary conduct verified to be true.
 10. Acting in another person's post for six months or more with diligence and outstanding performance: one Merit shall be recorded.
 11. Other major achievements serving as a model to others.
- (III) Where recognition involves cybersecurity matters, it shall be handled in accordance with the Regulations Governing Recognition and Discipline for Cybersecurity Matters for Personnel of Government Agencies.

IV. Standards for Disciplines:

- (I) A Warning shall be imposed under any of the following circumstances:
1. Neglect of duty or perfunctory performance, under minor circumstances.
 2. Unjustified delay or errors/omissions in primary (or managed) duties or assigned matters, under minor circumstances.
 3. Improper handling of duties, poor coordination/cooperation, or evasion of responsibility causing adverse impact.
 4. Inadequate supervision and evaluation of subordinates affecting business promotion, under minor circumstances.
 5. Failure to properly safeguard public property or wasting public funds causing loss, under minor circumstances.
 6. Improper speech or conduct damaging the reputation of the University or civil servants, under minor circumstances.
 7. Other violations of civil service laws/regulations, under minor circumstances.
- (II) A Demerit shall be recorded under any of the following circumstances:
1. Ineffective work or leaving one's post without authorization, thereby impeding public service.

2. Disciplinary violations or improper speech/conduct undermining the University's reputation or the image of civil servants.
 3. Unjustified refusal to obey a superior's order, materially affecting public service, as verified by clear evidence.
 4. Unjustified delay in primary (or managed) duties or assigned matters causing adverse consequences, under relatively serious circumstances.
 5. Disclosing official secrets where the situation is not yet severe but has already caused administrative difficulties.
 6. Making false or malicious accusations against superiors or colleagues, verified to be true, under circumstances not yet major.
 7. Failure to properly safeguard public property or wasting public funds causing loss, under relatively serious circumstances.
 8. Inadequate supervision and evaluation of subordinates causing adverse consequences, under relatively serious circumstances.
 9. Signing in/out or clocking in/out on behalf of another, or commissioning another to do so, as verified.
 10. Absence without leave continuing for more than one day but less than two days, or accumulating more than two days but less than five days within one year.
 11. Other violations of civil service laws/regulations, under relatively serious circumstances.
- (III) Where disciplines involve cybersecurity matters, they shall be handled in accordance with the Regulations Governing Recognition and Discipline for Cybersecurity Matters for Personnel of Government Agencies.
- (IV) For drunk driving or drunk driving causing an accident, disciplines shall be imposed pursuant to the Executive Yuan's suggested handling principles for administrative responsibility regarding civil servants' drunk driving and other relevant provisions.
- V. For the Commendation, Merit, Warning, and Demerit provided in these Guidelines, one or two instances may be awarded or imposed as appropriate depending on the circumstances. Where deeds do not reach the threshold for recognition or discipline, they may, by resolution of the University's Staff Performance Evaluation Committee, be listed as an important reference for the year-end performance evaluation.
- VI. Principles for Recognition and Discipline:
- (I) For matters within one's duties, apart from cases of outstanding performance such as innovative approaches, process simplification, or other special contributions that may merit recognition, routine and recurring work shall serve only as a reference for year-end performance evaluation.
 - (II) For the same matter, recognition shall be granted only after the task is fully completed, and shall be awarded in accordance with regulations based on verified actual performance.

- (III) For cases completed through collaboration among multiple units, recognition shall prioritize personnel of the lead unit bearing primary responsibility, with consolidation and submission by that unit; recognition for other personnel shall be prudently determined according to their concrete performance. Disciplines shall be deliberated with responsibility reviewed jointly across lead and supporting units, and imposed based on verified facts.
 - (IV) For recognition and discipline concerning cross-unit programs or projects, the lead unit shall, when formulating the program or plan, set unified standards as needed; or, when administering recognition and discipline, shall consider matters as a whole under the principle of fairness to avoid disparities in severity.
 - (V) Under the principle of non-duplication of recognition, those who have already received allowances or remuneration for the work shall, as a rule, not receive additional recognition unless there are extraordinary merits.
 - (VI) For recognition proposals recommended by external organizations, the University shall handle them with due consideration of the circumstances and with reference to past practice.
 - (VII) Cases of recognition or discipline expressly prescribed by superior authorities shall be handled in accordance with the regulations of the superior authorities.
 - (VIII) The level of recognition shall be determined by the achievements attained; the severity of discipline shall be determined by the facts of the offense.
 - (IX) When deliberating recognition or discipline cases, supervisors of the units concerned or relevant personnel may be invited to attend the Staff Performance Evaluation Committee to provide explanations.

Cases of recognition that meet the University's principles for the Staff Performance Evaluation Committee's review may be issued as recognition orders by the Personnel Office upon the President's approval, and shall be submitted to the University's Staff Performance Evaluation Committee for confirmation within three months after promulgation.
- VII. When proposing recognition or discipline cases, each unit shall complete a Recognition/Discipline Proposal Form, giving a detailed account of the concrete deeds, the benefits achieved (e.g., results or impact analysis), and the proposed grounds and level of recognition or discipline. After being processed in accordance with administrative procedures and countersigned by the Personnel Office, and upon the President's approval, the case shall be submitted to the Staff Performance Evaluation Committee for deliberation.
- For staff disciplinary cases, the Personnel Office shall notify the party concerned in writing to submit a written defense within a specified time for inclusion in the deliberations.

The time limit for the written defense shall be calculated from the day following receipt of the notice and shall not exceed ten calendar days. For disciplines of Demerit or above, the Staff Performance Evaluation Committee may, as necessary, require the party to appear and present statements before further deliberation. If, without justifiable reason, the party fails to submit the written defense within the specified period or fails to appear on the specified date, the Staff Performance Evaluation Committee may render a decision in absentia.

VIII. These Guidelines shall be implemented after approval by the Administrative Meeting, ratification by the President, and submission to the Ministry of Education for record. The same procedure shall apply to amendments.