

國立中山大學教師升等審查辦法

Regulations for Evaluation of Professorship Rank Promotion

99.12.24本校99學年度第2次校務會議修正通過
Amended and approved at the 2nd University Council meeting on Dec. 24th, 2010
101.6.1本校100學年度第4次校務會議修正通過
Amended and approved at the 4th University Council meeting on June 1st, 2012
103.6.6本校102學年度第4次校務會議修正通過
Amended and approved at the 4th University Council meeting on June 6th, 2014
104.5.29本校103學年度第4次校務會議修正通過
Amended and approved at the 4th University Council meeting on May 29th, 2015
105.6.3本校104學年度第4次校務會議修正通過
Amended and approved at the 4th University Council meeting on June 3rd, 2016
105.12.23本校105學年度第2次校務會議修正通過
Amended and approved at the 2nd University Council meeting on Dec. 23rd, 2016
106.12.22本校106學年度第2次校務會議修正通過
Amended and approved at the 2nd University Council meeting on Dec. 22nd, 2017
107.12.21本校107學年度第1學期第2次校務會議修正通過
Amended and approved at the 1st University Council meeting on Dec. 21st, 2018
108.12.20本校108學年度第1學期第2次校務會議修正通過
Amended and approved at the 1st University Council meeting on Dec. 20th, 2019
111.10.28本校111學年度第1次校務會議修正通過
Amended and approved at the 1st University Council meeting on Oct 28th, 2022

第一條 本校專任教師升等審查除依專科以上學校教師資格審定辦法及法令另有規定外，悉依本辦法辦理。

I. The regulations are established to handle the evaluation of professorship rank promotion of full-time faculty of National Sun Yat-sen University (hereinafter referred to as “NSYSU”). Matters not covered herein shall be handled in accordance with the *Regulations Governing Accreditation of Teacher Qualifications at Junior Colleges and Institutions of Higher Education* and relevant regulations.

第二條 本校各等級教師符合下列各款條件及所屬系(所、教育中心、學位學程，以下簡稱系級)及學院(含西灣學院，以下簡稱院級)升等規定，始得提出申請。

II. Faculty who meet the criteria for rank promotion of their affiliated department (institute, education center, or degree program, hereinafter collectively referred to as “department”) and college (and Si Wan College, hereinafter collectively referred to as “college”) and the conditions stipulated in the following subparagraphs shall be eligible to apply for promotion:

一、講師升等助理教授：

1. For a lecturer’s promotion to an assistant professor:

(一) 曾任講師三年以上。

- (1) the applicant has been a lecturer for at least three years, and
- (二) 教學及服務成績優良，並具有獨立研究能力且有相當於博士論文水準之研究著作發表。
- (2) has good performance in both teaching and service, demonstrates the ability of independent research, and has published research works in quality comparable to a Ph.D. dissertation.

二、助理教授升等副教授：

2. For an assistant professor's promotion to an associate professor:
 - (一) 曾任助理教授三年以上。
 - (1) the applicant has been an assistant professor for at least 3 years, and
 - (二) 教學及服務成績優良，且在學術領域內有持續性研究著作並有具體研究貢獻。
 - (2) has good performance in both teaching and service, and consistently publishes in one's academic area and makes solid contributions.

三、副教授升等教授：

3. For an associate professor's promotion to a professor:
 - (一) 曾任副教授三年以上。
 - (1) the applicant has been an associate professor for at least three years, and
 - (二) 教學及服務成績優良，在學術領域內有持續性研究著作，並有獨特性之重要具體研究貢獻。
 - (2) has good performance in both teaching and service, and consistently publishes in one's academic area and makes unique and solid contributions.

前項所稱系級及院級升等規定，係指經系級及院級且經上一級教師評審委員會（以下簡稱教評會）審議通過之升等規定；其有更嚴格之規定者，從其規定。

The criteria for rank promotion of the department and college stipulated in the previous Subparagraph refer to regulations for rank promotion established by the department faculty evaluation committee (hereinafter referred to as "DFEC") and college faculty evaluation committee (hereinafter referred to as "CFEC"), respectively, and approved by the

faculty evaluation committee (hereinafter referred to as “FEC”) one level higher. The strictest regulations shall prevail.

第三條 前條教師年資採計，係以教育部所頒本等級(含以上)教師證書生效日至提出申請升等前一學期結束為期間認定基準。

III. The work seniority stipulated in the previous Article is taken to be the period from the effective date of the applicant’s teacher certificate (including the current rank or above) issued by the Ministry of Education to the end of the last semester.

曾在國內外全時進修、研究期間之年資最多採計一年；經核准借調者，其借調期間年資最多採計二年。以全時在國內外進修、研究、出國講學、借調者，其向系教評會提出申請之當學期末實際在校授課或從事研究者，不得提出升等。

The period during which the applicant had ever undertaken advanced studies or research abroad shall be counted for at most one year of seniority, and the period of approved secondment shall be counted for at most two years of seniority. Applicants undertaking full-time advanced studies or research either domestically or abroad, lecturing abroad, or on secondment shall not apply for promotion to the DFEC during the semester they are not teaching or doing research on campus.

第四條 教師升等審查程序分為系級審查、院級審查及校級審查，分別由系級教評會、院級教評會及校教評會辦理。院級單位主聘教師之升等案，逕行辦理院級及校級審查。

IV. Applications for promotion shall be reviewed by the department, college, and university in succession, conducted by the DFEC, CFEC, and university faculty evaluation committee (hereinafter referred to as “UFEC”), respectively. Applications of faculty directly appointed by the college shall be reviewed by their individual colleges and the university.

各級教評會於審查教師升等案時，應就擬升等教師之學術研究、產學、教學及服務與輔導等之績效作綜合考量。

FEC at all levels shall evaluate and score the applicant’s holistic performance in academic research, industry collaboration, teaching, and service and counselling.

審查程序尚未完成前，擬升等教師不得再次申請同一等級教師資格審查。

Prior to the completion of the review procedure, the applicant is not eligible to apply for another accreditation of teacher qualification of the same rank.

第五條 教師升等管道分為一般研究類、技術應用類及教學研究類。教師應

就升等管道擇一提出申請。。

V. The pathway of faculty's rank promotion is categorized into the tracks of general research, technology application, or teaching research. Faculty shall select one of the three tracks to submit their application.

院級及系級教評會得依下列比例範圍自訂各類升等管道之學術產學研究績效(A，包含學術研究成果外審成績(A1)及產學研究績效(A2))、教學績效(B)與服務績效(C)等面向績效之權重，經上一級教評會審議通過後據以升等審查。

Applications for rank promotion shall be reviewed and scored based on the applicant's performance in three major categories: (A) academic & industry-academia research (including (A1) external evaluation of academic research and (A2) various academic and industry-collaboration research achievements), (B) teaching, and (C) service. Within the range stipulated below, the CFEC and DFEC shall set their own scoring percentage among the three categories for each track, with the percentage approved after deliberation by the respective FEC one level higher.

	一般研究類 general research	技術應用類 technology application	教學研究類 teaching research
學術產學研究績效(A) Academic & industry- academia research performance (A)	60~70	60~70	40~60
教學績效(B) teaching performance (B)	20~30	20~30	30~40
服務績效(C) service performance (C)	10~20	10~20	10~20

其中學術研究成果外審成績(A1)佔產學研究績效(A)之比重(%)為:

The scoring percentage for external evaluation of academic research A1 in category A is as follows:

	一般研究類 general research	技術應用類 technology application	教學研究類 teaching research
學術研究成果外審成 績(A1/A) external evaluation of academic research (A1/A)	75	40	60

前項評分指標及評分標準由各級教評會另定之，並經上一級教評會審議通過。

Scoring indicators and criteria thereof of each category stipulated in the previous Paragraph shall be formulated by FEC at all levels and approved after deliberation by the respective FEC one level higher.

醫學院所屬臨床教師之升等管道、升等評分指標及評分標準由醫學院教評會另定之，並經校教評會審議通過。

The promotion pathway, and scoring indicators and criteria for clinical faculty affiliated with the College of Medicine shall be formulated separately by its CFEC, and shall be deliberated and approved by the UFEC.

第六條 擬升等教師所提送審之學術研究成果 得依升等類別 為學術研究論文、產學應用技術報告、教學實務技術報告、藝術作品及體育成就技術報告等之專門著作。學術研究成果件數由各學院依其屬性自訂之，以五至十件為原則。教師自行擇一為代表作；其屬系列之相關研究者，得合併為代表學術研究成果，其餘列為參考學術研究成果。前經教師資格審定不合格者，重新提出學術研究成果曾作為代表作送審時，其送審之參考作應增加或更換一件以上，有關應增加或替換件數，由各學院自訂。

VI. Achievements of academic research submitted by applicants for rank promotion based on the selected track shall be one of the following: published academic papers, technical reports on industry application, technical reports on teaching practice, artworks, or technical reports on sports achievement. The number of published academic papers to be submitted shall be specified by each individual college according to its attribute, from five (5) to ten (10) in principle. The applicant shall select one representative work and use the rest as reference. Related works constituting a series may be compiled into one representative academic research achievement. When submitting a representative work used in prior failed application as a representative work, there shall be at least one new reference work to be added as a replacement or supplement. The number of newly added work(s) shall be determined by individual colleges.

整理、增刪、組合、編排他人著作而成之編著，或其他非學術研究成果著作，不得送審。

Any composition by rearranging, editing, recombining, or reformatting of other's work, or other non-academic research achievements shall not be submitted for review.

送審學術研究成果代表作不得為學位論文或其論文之一部分。惟若

未曾以該學位論文送審任一職級教師資格或屬學位論文延續性研究送審者，經出版並提出說明，由專業審查認定著作具相當程度創新者，不在此限。

Representative work of academic research achievement shall not be a part of the applicant's dissertation, except when the dissertation has not been submitted for any teacher qualification accreditation, or when the representative work is an extension of the applicant's dissertation and has been published and deemed to contain certain novelty.

第七條

外審作業每學期辦理一次，由校教評會主席、教務長、研發長、所屬學院院長，及校長自各院級教評會委員中指派一人組成外審委員圈選小組。

VII.

The external evaluation is conducted once per semester with reviewers selected by an ad hoc selection committee consisting of the chair of the UFEC, Vice President of Academic Affairs, Vice President for Research & Development, the dean of applicant's affiliated college, and one member of the CFEC appointed by the President.

外審委員推薦候選名單由系級、院級及校級各提具有充分專業能力之學者專家五人組成，名單有重覆時，由上一級補足後，再由外審委員圈選小組辦理圈選產生五位外審委員。

The affiliated department, college and the University shall each recommend five competent scholars and experts to be the candidates for external reviewers. If there exists an overlap of recommended candidates, the higher level shall recommend supplements to make up the list. The selection committee stipulated above shall determine five (5) external reviewers from the candidate list.

外審成績評分比重(%)：代表作占70%，參考作占30%。外審結果以一百分為滿分，分為「傑出」、「優良」、「普通」、「欠佳」四等第，各等第分數如下：

The weightings (%) of external evaluation are 70% for representative work and 30% for reference works. Results of the external evaluation are categorized into four grades: "Excellent", "Good", "Average" and "Poor". Percentage scores for the corresponding grades are as follows:

- 一、傑出：九十分以上至一百分。
- 二、優良：八十分以上，不滿九十分。
- 三、普通：七十分以上，不滿八十分。
- 四、欠佳：不滿七十分。
 1. Excellent: 90~100
 2. Good: 80~89
 3. Average: 70~79

4. Poor: 0~69

擬升等為教授或副教授者，至少有四位外審委員評等為「優良」以上，始達外審合格門檻。

Those who apply for associate professorship or professorship shall receive the “Good” grade from at least four (4) reviewers to meet the passing threshold of external evaluation.

前項外審合格門檻，各學院應對擬升等為教授或副教授者，分別外加合格門檻。

Individual colleges shall formulate additional criteria on top of the passing threshold of external evaluation stipulated in the previous Paragraph.

未達外審合格門檻者，視為升等不通過。

Applicants not meeting the passing threshold of external evaluation do not pass the application for promotion.

系級審查依下列程序辦理：

第八條
VIII.

The department level review shall be conducted in accordance with the following procedure:

一、系級教評會依據第五條所定之評分指標及評分標準經院級教評會通過後，據以進行研究產學學術、教學與服務等面向之績效審查。

1. The DFEC shall conduct the department level review on the applicant’s performances in academic & industry-academia research, teaching, and services in accordance with the scoring indicators and criteria established as per Article 5.

二、系級教評會辦理審查時，應先將擬升等教師之學術研究成果及迴避名單送院級教評會進行學術研究成果審查後，由校送外審，外審結果送回系級教評會審查。

2. The applicant’s academic research achievement, and a recusal list of external reviewers shall be delivered by the DFEC to the CFEC for evaluation. The university shall submit the applicant’s case to the external reviewers for external evaluation with the result returned back to the DFEC for deliberation.

三、系級教評會召集人應就通過審查之擬升等教師，加註評語連同審查成績及會議紀錄送院級審查。

3. Cases which pass the department level review shall be submitted along with the score of the review, the DEFC meeting minutes, and chairperson’s comments to the CFEC for the college level review.

系級教評會應於第一學期 11 月 30 日前或第二學期 5 月 16 日前完成以次一學期初（2 月 1 日或 8 月 1 日）為升等後之教師證書生效日之審查。

In order for the approved applicant's Teacher Certificate to be issued with an effective date on February 1st of the next semester, the DFEC shall complete the department level review by November 30th, or by May 16th for an effective date on August 1st of the next semester.

第九條 院級審查依下列程序辦理：

IX. The college level review shall be conducted in accordance with the following procedure:

- 一、院級審查由院級教評會依據第五條所定之評分指標及評分標準，據以進行學術產學研究績效、教學績效與服務績效等面向之審查。
 1. The CFEC shall conduct the college level review on the applicant's performances in academic & industry-academia research, teaching, and services in accordance with the scoring indicators and criteria established as per Article 5.
- 二、各院級教評會召集人應就通過院級審查之教師加註教學、服務及其他應行考慮事項之評語，並附評審成績、各項表件、會議紀錄及其升等著作送請本校教評會進行校級審查。
 2. Cases which pass the college level review shall be submitted along with a score of the review, relevant documentation, the CFEC meeting minutes, the applicant's publications, as well as the chairperson's comments on the applicant's performances in teaching, service and other noteworthy matters to the UFEC for the university review.

院級教評會應於第一學期 12 月底前或第二學期 6 月 16 日前完成以次一學期初（2 月 1 日或 8 月 1 日）為升等後之教師證書生效日之審查。

In order for the approved applicant's Teacher Certificate to be issued with an effective date on the start of the next semester (February 1st or August 1st), the CFEC shall complete the college level review by the end of the current semester (December 31st or June 16th).

第十條 校級審查依下列程序辦理：

X. The university review shall be conducted in accordance with the following procedure:

- 一、校級審查之三類升等管道之學術產學研究績效(A)、教學績效(B)與服務績效(C)三面向之權重如下表。學術研究著作外審成績(A1)佔學術產學研究績效 (A)之比重(A1/A)依第五條辦理。

- For each track of the promotion pathway, the scoring percentage among performances in the category of academic and industry-academia research (A), teaching (B), and service (C) is tabulated as follows: The scoring percentage for external evaluation of academic research (A1) in category A shall be handled in accordance with Article 5.

	一般研究類 general research	技術應用類 technology application	教學研究類 teaching research		
			理、工海、文 S, E, MS, LA	管、社 M, SS	西灣 SW
學術產學研究績效(A) academic & industry- academia research performance (A)	70	70	60	50	40
教學績效(B) teaching performance (B)	20	20	30	40	40
服務績效(C) service performance (C)	10	10	10	10	20

註：理、工、醫、海、文：理學院、工學院、海洋科學學院、文學院。
管、社、西灣：管理學院、社會科學院、西灣學院。
Note: S, E, MS, LA stand for College of Science, College of Engineering, College of Marine Sciences and College of Liberal Arts.
M, SS, SW stand for College of Management, College of Social Sciences and Si Wan College

擬升等教師擇定升等管道後，依產學研究績效(A2)、教學績效(B)與服務績效(C)三面向之指標計分表呈現教師本等級各面向之績效。各面向之指標及評分原則由校教評會另定之。

Once the applicant selects the track of rank promotion, his/her performances in various academic and industry-collaboration research achievements (A2), teaching (B), and service (C) shall be scored in accordance with the scoring indicators and criteria separately set by the UFEC.

二、校級審查對校外專業審查 除能提出具有專業學術依據之具體理由足以動搖外審學者專家專業審查之可信度與正確性外，應尊重其判斷與意見。

- Unless there are concrete reasons based on academic standards to question the credibility and correctness of the external evaluations, the UFEC shall honor the assessments and opinions of the external reviewers.

三、校教評會就通過院級審查之擬升等教師之整體表現綜合評分。綜合評分佔總分之10%。進行校級審查時，校教評會得邀請擬

升等教師列席說明，詢畢離席。

3. The UFEC shall evaluate the applicant's holistic performance and give a discretionary score constituting 10% of the applicant's final score. Before the scoring, the applicant may be asked to the UFEC meeting to present his/her case and then leave.

四、第一款及第三款合計總成績達70分以上，始通過校級審查。通過校級審查者，由人事室依規定報教育部核備，核給相當等級之教師證書。

4. An applicant whose combined score from Subparagraph 1 and 3 is seventy (70) or above shall pass the university review and be approved for the rank promotion. The approved case shall then be submitted by the Office of Personnel Services to the Ministry of Education that keeps for reference and issues a Teacher Certificate of the applied rank.

第十一條 各級教評會委員對其配偶、親屬或利害關係人之案件應予迴避。
Members of the FEC at all levels shall recuse themselves when the applicant for promotion is their spouse, relative, or other interested person.
XI.

擬升等教師應提供述明迴避理由之利害關係人名單(如指導教授、曾合作發表著作之學者專家、三親等內之親屬等)，亦得提供不利審查之學者專家名單，以利校辦理公正校外著作審查。

In order for the university to handle the external evaluation in fairness, the applicant shall submit a recusal list of interested persons (such as dissertation supervisors, co-authors of published works, or relatives within the third degree) with legitimate reasons or scholars/experts who might be deemed unfavorable in the evaluation.

第十二條 教評會對升等資料有認定之疑義時，應邀請擬升等教師提出書面或列席說明。

XII. When there exist doubts regarding the interpretation of any documentation in the promotion application, the FEC shall ask the applicant to provide a written explanation or to attend the FEC meeting to clear the doubts.

第十三條 各級教評會對不同意升等者，應具體敘明其理由及檢附評審意見通知當事人，並告知當事人對決定不服時之救濟管道及程序。

XIII. The FEC at all levels shall notify applicants not passing the promotion review with solid reasons and comments, and inform the applicants of the remedies and procedures to handle dissatisfaction with the decision.

第十四條 擬升等教師如不服各級審查之決議，除得依本校教師申訴評議委員

會組織及評議要點之規定向本校教師申訴評議委員會（以下簡稱校申評會）提出申訴外，亦得於決議通知書送達之次日起三十日內以書面敘明理由，依下列管道提出申復：

XIV.

Applicants who disagree with the decision of any level of FEC may file a grievance in accordance with the *Guidelines on the Organization and Deliberations of the Faculty Appeal Handling Committee* to the Faculty Appeal Handling Committee (hereinafter referred to as “FAHC”). In addition, the applicants may also file a grievance, following the procedure stipulated below, with a written statement within thirty (30) days starting the next day of receiving the notification of review decision:

一、擬升等教師如不服系級審查之決議，得向所屬院級教評會提出申復。院級教評會認為申復有理由，應送回系級教評會再審議或逕為變更決議；認為無理由者，應敘明理由駁回。惟擬升等教師如不服院級教評會之申復決定，不得復向校教評會提起申復。

1. Applicants who disagree with the DFEC’s decision may submit a grievance to the CFEC requesting a second review. If the CFEC decides there exist grounds for the request, the CFEC shall ask the DFEC to review the application for rank promotion again, or review the rank promotion application directly. Otherwise, the grievance shall be dismissed with stated reasons. Applicants who disagree with the CFEC’s decision on the grievance shall not file a grievance again to the UFEC.

二、擬升等教師如不服院級審查之決議，得向校教評會提出申復。校教評會認為申復有理由，應送回院級教評會再審議或逕為變更決議；認為無理由者，應敘明理由駁回。

2. An applicant who disagrees with the CFEC’s decision may submit a grievance to the UFEC requesting a second review. If the UFEC decides there exist grounds for the request, the UFEC shall ask the CFEC to review the application for rank promotion again, or review the rank promotion application directly. Otherwise, the grievance shall be dismissed with stated reasons.

各級教評會應於收到申復申請書之日起二個月內完成審議；必要時得延長期限二個月。擬升等教師於申復期間逕向本校申評會提出申訴者，申復應立即停止。

FEC at all levels shall address the applicant’s grievance within two months after receiving it. An extension of two more months shall be allowed when necessary. When the applicant appeals to the Faculty Appeal Handling Committee after filing a grievance against the FEC decision, the process of the grievance shall be immediately terminated.

第十五條
XV.

各級教評會審查時，發現外審意見有疑義者，應依下列規定處理：
FEC at all levels shall implement the following when having doubt about the result of external evaluation:

- 一、分數或評語有誤寫、誤算或其他類此之顯然錯誤：送原外審委員釐清後，由教評會認定。
 1. any writing errors, miscalculations, or other obvious related mistakes: the FEC shall resolve the concerned areas after clarification with the original external reviewer.
- 二、分數與評語矛盾、涉及研究方法與研究內容，或有其他足以動搖該專業審查可信度與正確性之疑義：組成專業審查小組審查後，送原外審委員釐清，並由專業審查小組及教評會認定。
 2. contradictions between scores and comments, doubts about research methodologies and research contents, or other doubts that can undermine the credibility and correctness of the professional evaluations: to form an expert subcommittee to deliberate those areas in doubt, ask the original external reviewer(s) for clarification, then both the subcommittee and FEC shall resolve the concerned areas.

前項第二款專業審查小組，應由送審著作專業領域具有充分專業能力之學者專家組成。

The said subcommittee is organized with competent scholars and experts in the field of submitted works as members.

第一項外審意見符合下列規定者，教評會應列舉明確之具體理由後剔除之，並依剔除之份數由外審委員圈選小組加送足額之學者專家審查：

External evaluations stipulated in Paragraph 1 meeting one of the following conditions shall be discarded with concrete reasons by the FEC; an equal number of new external reviewers shall be selected by the ad hoc selection committee to conduct the supplementary external evaluation.

- 一、第一項第一款疑義經教評會認定後，確有分數或評語有誤寫、誤算或其他類此之顯然錯誤之情事。
 1. The FEC resolves that the condition stipulated in Subparagraph 1 of Paragraph 1 is indeed cases of writing errors, miscalculations, or other obvious related mistakes.
- 二、第一項第二款疑義經專業審查小組及教評會認定後，確有專業學術依據之具體理由，動搖該專業審查可信度與正確性之情事。
 2. The expert subcommittee and FEC resolve that there exists concrete academic reasons to question the credibility and

correctness of the evaluation(s) concerning the condition stipulated in Subparagraph 2 of Paragraph 1.

教評會審查同一案件，依前項第二款規定剔除外審意見，以一次為限。

Invocation of the provision in Subparagraph 2 of Paragraph 2 to the same application shall be limited to only once.

第十六條 教育人員任用條例修正施行前(86年3月19日前聘任)已聘任且繼續任教而未中斷之講師，得因獲得博士學位以博士學位申請自次學期起改聘為助理教授或申請經升等程序逕升為副教授。

VI. Incumbent lecturers who were appointed (by March 19th, 1997) before the amendments to the *Act Governing the Appointment of Educators* and have been teaching continuously without interruption, once they obtain their Ph.D. degree, shall apply for direct reappointment as an assistant professor or through rank promotion procedure as an associate professor, effectively from the next semester.

第十七條 本辦法經校教評會及校務會議通過，陳請校長核定後實施，修正時亦同。

XVII. These regulations are approved by the UFEC and University Council, and have been submitted to the President for approval before implementation. Amendments to these regulations shall follow the same procedure.