

# 國立中山大學管理學院教師升等審查要點

## College of Management Guidelines for Promotion Evaluation of Faculty

- Amended and Approved by the 4<sup>th</sup> Faculty Evaluation Committee at the College-level on December 22, 2004, Academic Year 93  
93. 12. 28 93學年度第2次院務會議修正通過
- Amended and Approved by the 2<sup>nd</sup> College Affairs Committee on December 28, 2004, Academic Year 93  
94. 01. 06 93學年度第293次校教評會議修正通過
- Amended and Approved by the 293<sup>rd</sup> Faculty Evaluation Committee at the University-level on January 6, 2005, Academic Year 93  
95. 01. 05 94學年度第299次校教評會議修正通過
- Amended and Approved by the 299<sup>th</sup> Faculty Evaluation Committee at the University-level on January 5, 2006, Academic Year 94  
105. 11. 29 105學年度第2次院務會議修正通過
- Amended and Approved by the 2<sup>nd</sup> College Affairs Council on November 29, 2016, Academic Year 105  
106. 03. 23 第379次教師評審委員會修正通過
- Amended and Approved by the 379<sup>th</sup> Faculty Evaluation Committee at the University-level on March 23, 2017  
107. 03. 06 106學年度第3次院務會議修正通過
- Amended and Approved by the 3<sup>rd</sup> College Affairs Council on March 6, 2018, Academic Year 106  
107. 04. 03 第385-2次教師評審委員會修正通過
- Amended and Approved by the 385-2<sup>th</sup> Faculty Evaluation Committee at the University-level on April 3, 2018  
111. 03. 08 110學年度第3次院務會議修正通過
- Amended and Approved by the 3<sup>rd</sup> College Affairs Council on March 8, 2022, Academic Year 110  
111. 04. 28 第413次教師評審委員會修正通過
- Amended and Approved by the 413<sup>rd</sup> Faculty Evaluation Committee at the University-level on April 28, 2022, Academic Year 110  
111. 12. 29 本校第420次校教師評審委員會修正通過
- Amended and Approved by the 420<sup>th</sup> College Affairs Committee on December 29<sup>th</sup>, 2023, Academic Year 111

一、本要點依本校教師評審委員會設置辦法訂定之。本院教師升等除依專科以上教師資格審定辦法及本校教師升等審查辦法等相關法規外，悉依本要點辦理。

Article 1. These regulations were stipulated in accordance with the University's '*Regulations for Establishment of Faculty Evaluation Committees*'. In addition to the '*Accreditation Regulations Governing Teacher Qualifications at Institutions of Higher Education*' and the University's '*Regulations for Evaluation of Professorship Rank Promotion*', the faculty promotion in the College shall follow this Regulation.

二、本院教師評審委員(簡稱教評會)之組成依本院教師評審委員會設置要點規定辦理。

Article 2. The faculty promotion committee in the College (hereinafter as the Committee) is formed in accordance with the *college of Management Guidelines for Establishment of the Faculty Evaluation Committee*.

三、本院升等管道、審查項目及成果：

(一)本院教師升等管道：分為一般研究類、技術應用類及教學研究類。教師應就升等管道類別擇一提出申請。

Article 3. The College faculty's rank promotion pathways, review of items and research work

1. Rank promotion pathways: 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 categories to submit their application.

(二)升等審查包括學術產學研究績效(A)、教學績效(B)及服務績效(C)三項，學術產學研究績

效分為學術研究成果外審成績(A1)及七年內本職級研究計畫獎助及學術成就(A2)。

2. The review for rank promotion includes three categories: academia-industry research performance (A), teaching performance (B), and service performance (C). Academia-industry research performance (A) includes academic research achievement score thru external review (A1) and research funding and academic achievement in current professorship rank within the last seven years (A2).

(三)本院各升等管道各項評分比率如下表：

升等類別	學術產學研究績效 A (學術研究成果外審成績 A1、七年內本 職級研究計畫獎助及學術成就 A2)	教學績效 (B)	服務績效 (C)
一般研究類	70%(A1:75%、A2:25%)	20%	10%
技術應用類	70%(A1:40%、A2:60%)	20%	10%
教學研究類	50%(A1:60%、A2:40%)	40%	10%

3. The scoring percentage of each promotion category rating is as follows:

Promotion Category	Academic & Industry-academia Research Performance A (External evaluation of academic research A1, research funding and academic achievement in current professorship rank within the last seven years A2)	Teaching Performance (B)	Service Performance (C)
General Research	70% (A1: 75%, A2: 25%)	20%	10%
Technology Application	70% (A1: 40%, A2: 60%)	20%	10%
Teaching Research	50% (A1: 60%, A2: 40%)	40%	10%

(四)學術研究成果：

1. 教師辦理升等所提本職等內之專門著作、成就證明或技術報告應有原創性，且非僅以整理、增刪、組合或編排他人著作而成之編著或其他非研究成果。件數至多十件，教師應自行擇一為代表作，屬系列相關研究者得合併為代表作，其餘列為參考作。其中技術報告代表著作須經本校產學營運及推廣處認定且以中山大學具名之研發成果。
2. 代表著作為將定期發表之證明送審者，申請教師應於發表後將該專門著作送本校人事室查核。
3. 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，其送審著作應增加或更換一件以上。

#### 4. Research work

- (1) Faculty who submits rank promotion application shall submit specialized academic work, achievement or technical reports that consists of originality, and not merely compilations,

edits, combinations, or arrangements of works of others, or other non-research outcomes. The maximum amount of submitting work is 10 pieces, faculty shall choose one as their representative work, related work constituting a series may be compiled into one representative academic research achievement. The rest of submitting work are listed as reference work. If choosing technical report as representative work, it must be approved by the Office of Global Industry-Academe Collaboration and Advancement and published using National Sun Yat-sen University as affiliation.

- (2) Faculty whose representative work that has not been published shall submit the representative work to the Office for Personnel Services for review after the publication.
- (3) Faculty whose prior application was failed for the faculty promotion shall submit at least one new or replace one reference work that was enclosed in the previous application as a replacement or supplement.

四、本院各級教師申請升等者，除應符合本校教師升等審查辦法相關規定外，並應符合以下條件：

(一)講師升等參考本校教師升等審查辦法辦理。

Article 4. The faculty of the College who submit rank promotion application shall follow the University's Regulations for Evaluation of Professorship Rank Promotion and its relevant regulations, and the conditions stipulated in the following subparagraph:

1. Lecturer's promotion shall follow the University's Regulations for Evaluation of Professorship Rank Promotion

(二)助理教授升副教授：

1. 申請一般研究類升等者，需符合下列條件之一：

- (1)於助理教授任職內，在具審查制度之國內外管理相關學術期刊發表或被接受論文三篇以上。發表或被接受論文中至少有一篇為第一作者或通訊作者。
- (2)於助理教授期間，在近三年內有單一作者作品，發表或被接受在國際公認第一級期刊，並有充分證據證明該論文之特殊卓越貢獻。
- (3)學術成就可以其他形式表達者（如專書、專利、研究報告等），需有充分證據證明該成就之特殊卓越貢獻。

2. Assistant professor's promotion to an associate professor:

(1) Applicants for promotion in the category of general research shall meet one of the following criteria during their assistant professorship:

- I . Minimum three research papers published or accepted in domestic or international peer-reviewed management journals during the assistant professorship. The applicant shall also be listed as the first or corresponding author on at least one paper of the total number of research papers.
- II . A single-authored research paper published or accepted in an internationally recognized first-tier journal within the last three years during the assistant professorship, with sufficient evidence of exceptional and outstanding contribution to the achievement.
- III . Academic research in other forms such as academic book, patents, or research reports, and

there must be sufficient evidence of exceptional and outstanding contributions to the achievement.

2. 申請技術應用類升等者，需於助理教授年資內獲得本校相關單位認可之國家科學及技術委員會(以下簡稱國科會)或教育部計畫三件以上者，且符合下列條件之一：

(1) 需於助理教授任職內曾獲得本校產學研究類傑出教師或產學研究績優教師獎項。

(2) 需於助理教授任職內其他相關成就達本校教師升等各項評分原則之學術產學研究績效-七年內本職級研究計畫獎助及學術成就(A2)總分 28 分以上。

(2) Applicants for promotion in the category of technology application must have received at least three projects approved by the National Science and Technology Council (hereinafter referred to as NSTC) or the Ministry of Education, being approved by the University, and meet one of the following criteria during their assistant professorship:

I . During the assistant professorship, the applicant has been awarded by the university with Outstanding Teacher Award or Teaching Excellence Award in industry-academia research category.

II . During the assistant professorship, the applicant's other achievements must meet the University's academic-industry research performance criteria for faculty promotion - a total score of 28 or more points in research funding and academic achievement in current professorship rank within the last seven years (A2).

3. 申請教學研究類升等者，需於助理教授任職內獲本校教師升等各項評分原則-教學績效之教學榮譽項目達4分以上。

(3) Applicants for promotion in the category of teaching research must have received a total score of 4 points or more points in teaching honors in the University's teaching performance criteria for faculty promotion during their assistant professorship

(三) 副教授升教授需符合下列條件之一：

1. 申請一般研究類升等者，需符合下列條件之一：

(1) 於副教授任職內，在具審查制度之國內外管理相關學術期刊發表或被接受論文五篇以上。發表或被接受論文中至少有一篇為第一作者或通訊作者。

(2) 於副教授期間，在近三年內有單一作者作品，發表或被接受在國際公認第一級期刊，並有充分證據證明該論文之特殊卓越貢獻。

(3) 卓越成就以其他形式表達者(如專書、專利、研究報告等)，需有充分證據證明該成就之特殊卓越貢獻。

3. Associate professor's promotion to a professor:

(1) Applicants for promotion in the category of general research shall meet one of the following criteria during their associate professorship:

I . Minimum five research papers published or accepted in domestic or international peer-reviewed management journals during the associate professorship. The applicant shall also be listed as the first or corresponding author on at least one paper of the total number of research papers.

- II. A single-authored research paper published or accepted in an internationally recognized first-tier journal within the last three years during the associate professorship, with sufficient evidence of exceptional and outstanding contribution to the achievement.
- III. Achievements in other forms such as academic book, patents, or research reports, and there must be sufficient evidence of exceptional and outstanding contributions to the achievement.
2. 申請技術應用類升等者，需於副教授任職內獲得本校相關單位認可之國科會或教育部計畫三件以上者，且符合下列條件之一：
- (1) 需於副教授任職內曾獲得本校產學研究類傑出教師或產學研究績優教師獎項。
- (2) 需於副教授任職內其他相關成就達本校教師升等各項評分原則之學術產學研究績效-七年內本職級研究計畫獎助及學術成就(A2)總分 28 分以上。
- (2) Applicants for promotion in the category of technology application must have received at least three projects approved by the National Science and Technology Council (hereinafter referred to as NSTC) or the Ministry of Education, being approved by the University, and meet one of the following criteria during their associate professorship:
- I. During the associate professorship, the applicant has been awarded by the university with Outstanding Teacher Award or Teaching Excellence Award in industry-academia research category.
- II. During the associate professorship, the applicant's other achievements must meet the University's academic-industry research performance criteria for faculty promotion - a total score of 28 or more points in research funding and academic achievement in current professorship rank within the last seven years (A2).
3. 申請教學研究類升等者，需於副教授任職內獲本校教師升等各項評分原則-教學績效之教學榮譽項目達4分以上。
- (3) Applicants for promotion in the category of teaching research must have received a total score of 4 points or more points in teaching honors in the University's teaching performance criteria for faculty promotion during their associate professorship.

#### 五、系級教評會升等審查程序：

##### (一)系級教評會第一階段升等資格審查：

1. 系級教評會應於當學期開學第一週結束前，審查申請升等案是否符合系級升等審查要點規定之升等條件。
2. 申請教師通過系級升等資格審查，系級教評會將其各項表件、會議記錄、升等著作及外審委員推薦候選名單，與申請教師提供之利益迴避名單及不利審查學者名單提送本院每學期第一次教評會。

#### Article 5. Department-level Faculty Evaluation Committee's promotion review procedure

1. First stage of promotion qualification review by the department-level Faculty Evaluation Committee:
  - (1) The department-level Faculty Evaluation Committee shall review the promotion application by the end of the first week of the semester to determine if the application met the

requirements for promotion set forth in the department-level faculty promotion review regulations.

- (2) After the applicant has passed the department-level review for promotion, the department-level Faculty Evaluation Committee will submit all reference documents, minutes of meetings, publications for promotion, and the list of candidates recommended by the external reviewers, along with a recusal list of interested persons and a list of scholars who might be deemed unfavorable in the evaluation provided by the applicant, to the first college-level Faculty Evaluation Committee meeting of each semester.

(二)系級教評會第二階段審查結果：

1. 外審結果送回系級教評會審查，應就各系級所定之評分指標、評分標準就學術產學研究績效、教學績效及服務績效三項評定成績，成績總分達七十分以上，且通過本院教師升等審查要點之學術研究成果外審合格門檻，則通過系級升等審查。
  2. 申請教師通過系級審查者，由系級教評會召集人加註評語，連同評審成績、各項表件、會議記錄及外審意見表等資料以密件送本院每學期第三次教評會。因外審作業或外審意見疑義處理程序延誤者，不在此限。
2. Second stage of promotion review result by the department-level Faculty Evaluation Committee:
- (1) The department-level Faculty Evaluation Committee shall review the results sent back by the external reviewers and evaluate the results following each department's evaluation indicators and criteria in three categories: academic and industry-academia research performance, teaching performance, and service performance. If the total score reaches 70 points or above, and if the applicant's academic research results pass the threshold of the external review in accordance with the College's Faculty Promotion Evaluation Guidelines, the applicant will pass the department-level promotion review.
  - (2) After the applicant passes the department-level promotion review, the convener of the department-level Faculty Evaluation Committee will add commentary and send the documents in sealed envelope to the third faculty evaluation committee meeting of the College every semester in a sealed copy, along with the scores after review, reference documents, meeting minutes, and external review comments. This procedure does not apply to those who have been delayed in the external review process or in the processing of external review comments clarification.

六、院教評會升等審查程序：

(一)院教評會升等審查程序：

1. 院教評會應於每學期第一次院教評會，審查申請教師是否符合本院升等審查要點第四點規定之升等條件。
2. 由院教評委員對每位申請者之研究、教學與服務予以綜合評分，滿分為一百分。各委員評定之分數中最高分及最低分不計外，其平均數達七十分（含）以上者，即通過本院教師升等之外審資格。
3. 申請教師通過系、院升等資格審查者，院教評會將其各項表件、會議記錄及升等著作由校

外審。外審委員推薦名單，與申請教師提供之利益迴避名單及不利審查學者名單等送外審委員圈選小組召集人。

外審委員推薦名單由系級、院級及校級各提具有充分專業能力之校外學者專家五人組成。由校教評會議主席、教務長、研發長、院長及校長指派本院院教評委員一人組成外審委員圈選小組，圈選產生五位外審委員。

#### Article 6. College-level Faculty Evaluation Committee's promotion review procedure

##### 1. Promotion qualification review by the College-level Faculty Evaluation Committee:

- (1) The College-level Faculty Evaluation Committee shall review whether the applicant meets the requirements for promotion as stipulated in Article 4 of this Guidelines at the first faculty evaluation meeting of each semester.
- (2) The members of the College-level Faculty Evaluation Committee will give each applicant a composite score of 100 points for research, teaching and service performance. The highest and the lowest scores of each committee member's evaluations will be excluded from the total score, those with an average score of 70 or above will be qualified for the faculty promotion external review.
- (3) Shall the applicant pass the department-level and the College-level promotion qualifications, the College-level Faculty Evaluation Committee will have the documents, meeting minutes, and publications for promotion reviewed by the external reviewers. A list of external reviewer candidates, along with a recusal list of interested persons and a list of scholars who might be deemed unfavorable in the evaluation provided by the applicant will be sent to the convener of the external reviewers' ad hoc selection committee.

The list of external reviewers is formed by experts with sufficient professional ability recommended by the department, College, and University. The chairperson of the University-level Faculty Evaluation Committee, the Vice President for Academic Affairs, the Vice President for Research & Development, the College Dean, and one member of the College-level Faculty Evaluation Committee appointed by the University President form a panel of five reviewers to select the external reviewers.

##### (二)院教評會第二階段審查結果：

1. 本院升等績效評分指標及標準除院服務績效成績依本院升等計分表計分外，悉依本校教師升等各項評分原則評分。
2. 升等教師之學術產學研究績效、教學績效及服務績效三項成績佔90%，及院教評委員就擬升等教師之綜合表現評分佔10%，合計成績總分達七十分以上，且通過本院學術研究成果外審合格門檻，則通過院級升等審查。
  - (1)院教評會委員評定之分數中最高分及最低分不予計入。
  - (2)學術研究成果外審結果代表作佔70%，參考作佔30%。分為「傑出」(90分以上)、「優良」(80分以上不滿90分)、「普通」(70分以上不滿80分)及「欠佳」(不滿70分)共四等第。擬升為副教授或教授者，至少有四位外審委員評等為「優良」以上，另升等副教授外審平均分數須達七十七分以上，升等教授外審平均分數須達八十分以上，始達外審合格門檻。未達外審合格門檻者，視為升等不通過。

## 2. Second stage of review results by the College-level Faculty Evaluation Committee

- (1) The applicant's service performance shall follow the College's evaluation indicators and criteria for scoring, other performance categories scoring shall follow the scoring indicators and criteria of the University's Evaluation of Professorship Rank Promotion.
- (2) The applicant's industry-academic performance, teaching performance, and service performance account for 90% of the total score, and the applicant's overall performance score evaluated the College-level Faculty Evaluation Committee accounts for 10%. Shall the applicant's total score reach 70 points or above and passes the threshold for external review of academic research results, the applicant will pass the College-level professorship rank promotion review.

I . The highest and the lowest scores among the scores assessed by the College-level Faculty Evaluation Committee members will be excluded.

II . The external review results of academic research results will be 70% for representative work and 30% for reference works. The scores are divided into four categories: "Excellent" (90 points or above), "Good" (80 points or above but less than 90 points), "Average" (70 points or above but less than 80 points) and "Poor" (less than 70 points). To be promoted to an associate professor or professor, at least four members of the external review committee must have given "Good" or higher category. The average score of the external reviews for promotion to associate professor must be at least 77, and the average score of the external reviews for promotion to professor must be at least 80 to reach the threshold of the external examinations. Those who do not reach the threshold for external examination will be considered as failing in promotion.

(三)申請升等教師通過院教評會審查者，由院教評會召集人加註評語，連同評審成績、各項表件及會議紀錄等送請校教評會審議。

3. Applicant who passes the College-level promotion review, the convener of the College-level Faculty Evaluation Committee will add commentary and send the documents to the university's Faculty Evaluation Committee for review, along with the scores after review, reference documents, meeting minutes, and external review comments.

七、院教評會審理教師升等案時，需有全體委員三分之二以上出席方可開會。

院教評會委員不得低階高審，且對其配偶、親屬或利害關係人之案件應予迴避，且對審查過程、審查意見應予保密。

院教評會委員對擬升等教師之升等資料如有認定之疑慮，必要時得請擬升等教師提出書面資料或口頭報告。

Article 7. College-level Faculty Evaluation Committee must have two-thirds of committee members present in the review meeting for the meeting to be held. The members of the Faculty Evaluation Committee shall not evaluate applicant at a higher rank while they are at a lower rank. The committee members shall also be excused from the review procedure if the applicant is their spouse, relative or person of interest, and the review process and comments shall be kept confidential.



八、院教評會審查時，發現外審意見有疑義者，依本校相關規定處理。

申請升等之教師，對於院教評會審查結果如有異議，得於收受通知之日起三十日內，依本校相關規定提出申復或申訴。

Article 8. Shall there be any doubts in the comments of the external reviewers during the review procedure by the college-level Faculty Evaluation Committee, the matter will be handled in accordance with the University's relevant regulations.

Shall the applicant disagree with the college-level Faculty Evaluation Committee review results, the applicant may file an appeal or a grievance in accordance with the University's relevant regulations within 30 days from the date of receipt of the notice.

九、本要點經院教評會、院務會議，及校教評會審議通過後，陳請校長核定施行，修正時亦同。

Article 9. These regulations, as well as its amendments, shall be effective upon approval by the College-level Faculty Evaluation Committee, College Affairs Council, University-level Faculty Evaluation meetings, and the University President.

Above regulation were translated from the original Chinese. In the event of any discrepancies between the two versions, the Chinese always takes precedence.