

國立中山大學管理學院教師升等審查要點

Guidelines on the Evaluation of Professorship Rank Promotion in the College of Management

93.12.28 93學年度第2次院務會議修正通過
94.01.06 93學年度第293次校教評會議修正通過
95.01.05 94學年度第299次校教評會議修正通過
105.11.29 105學年度第2次院務會議修正通過
106.03.23 第379次教師評審委員會修正通過
107.04.03 第385-2次教師評審委員會修正通過
111.03.08 110學年度第3次院務會議修正通過
111.04.28 第413次教師評審委員會修正通過
111.12.29 本校第420次校教師評審委員會修正通過

Amended and approved at the 420th University Faculty Evaluation Committee meeting on December 29, 2023

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。

I. These guidelines are formulated in accordance with the University's *Regulations for the Establishment of Faculty Evaluation Committees*. The evaluation of professorship rank promotion in the College of Management (hereinafter referred to as the "College") shall be handled in accordance with *Regulations Governing Accreditation of Teacher Qualifications at Junior Colleges and Institutions of Higher Education* and the University's *Regulations for the Evaluation of Professorship Rank Promotion*.

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。

II. The College Faculty Evaluation Committee (hereinafter referred to as the "CFEC") shall be formed in accordance with *Guidelines on the Establishment of the College Faculty Evaluation Committee*.

三、本院升等管道、審查項目及成果：

III. Tracks of promotion, evaluated items and academic research achievements:

(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。

(1) The pathway of faculty members' rank promotion is categorized into the tracks of general research, technology application, and pedagogical research. The faculty shall select one of the tracks 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 evaluation items include three categories: academia-industry research performance (A), teaching performance (B), and service performance (C). Academia-industry research performance (A) includes external evaluation of academic research (A1) and research projects and other academic achievements within the past 7 years at the current rank (A2).

(三)本院各升等管道各項評分比率如下表：

- (3) The scoring percentage of the three categories for each track is as follows:

升等類別 Tracks of promotion	學術產學研究績效 Academic & industry-academia research performance (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) (external evaluation of academic research (A1); research projects and other academic achievements within the past 7 years at the current rank (A2))	教學績效 Teaching performance (B)	服務績效 Service performance (C)
一般研究類 general research	70% (A1:75%、A2:25%)	20%	10%
技術應用類 technology application	70% (A1:40%、A2:60%)	20%	10%
教學研究類 pedagogical research	50% (A1:60%、A2:40%)	40%	10%

(四)學術研究成果：

- (4) academic research achievement:

- 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。

- i. Applicants' academic works, evidence of achievement, or technical reports shall be original and shall not be any composition by rearranging, editing, recombining, or reformatting other's works, or other non-academic research achievements. The applicant may submit up to ten works for rank promotion, and shall select one representative work and use the rest as reference works. Related works constituting a series may be compiled into one representative work. Additionally, the representative technical report shall be recognized by the Office of Global Industry-Academe Collaboration and Advancement as a research and development achievement with National Sun Yat-sen University as the affiliation.
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。
- ii. The representative work for rank promotion to be published shall be submitted to the Office of Personnel Services for verification after its publication.
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。
- iii. Faculty members may resubmit their application using the same representative work as the one used in a prior unsuccessful application, with at least one new reference work added 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：

- IV. Faculty members of all ranks in the College shall be eligible to apply for promotion if they meet the requirements stipulated in the University's *Regulations for the Evaluation of Professorship Rank Promotion* as well as the following conditions:

- (一) 講師升等參考本校教師升等審查辦法辦理。
- (1) Promotion from lecturer-ship to assistant professorship shall be handled in accordance with the University's *Regulations for the Evaluation of Professorship Rank Promotion*.
- (二) 助理教授升副教授：
- (2) Assistant professors applying for associate professorship shall fulfill the following criteria:
1. 申請一般研究類升等者，需符合下列條件之一：
 - i. Applicants through the track of general research shall fulfill one of the following criteria:
 - (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。
 - (i) They shall publish more than three papers at their current rank in domestic or international academic journals with a review mechanism in the field of management, with at least one paper published as the first author or the corresponding author.
 - (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。
 - (ii) Their single-authored paper shall be published or accepted in an internationally recognized first-tier journal within three years at their current rank, with sufficient evidence of exceptional contributions.
 - (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。
 - (iii) They shall demonstrate their academic achievement through books, patents, or research reports, with sufficient evidence of their exceptional contributions.
 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：
 - ii. Applicants through the track of technology application shall receive at least three research projects granted by the National Science and Technology Council (NSTC) or the Ministry of Education (MOE) at their current rank, with recognition by the University's relevant units,

and fulfill one of the following criteria:

(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。

(i) They shall receive the award of Outstanding Faculty in industrial research or Prominent Faculty in industrial research from the University at their current rank, or

(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。

(ii) they shall achieve a score of 28 or above in A2 research projects and other academic achievements within the past 7 years at the current rank under the category of academic & industry-academia research performance, as stipulated in the University's *Scoring Principles for the Application of Professorship Rank Promotion*.

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。

iii. Applicants through the track of pedagogical research shall receive at least 4 points in teaching honors of teaching performance at their current rank, as stipulated in the University's *Scoring Principles for Application of Professorship Rank Promotion*.

(三) 副教授升教授需符合下列條件之一：

(3) Promotion from associate professorship to professorship:

1. 申請一般研究類升等者，需符合下列條件之一：

i. Applicants through the track of general research shall fulfill one of the following criteria:

(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。

(i) They shall publish more than five papers at their current rank in domestic or international academic journals with a review mechanism in the field of management, with at least one paper published as the first author or the corresponding author.

(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。

(ii) Their single-authored paper shall be published or accepted in an internationally recognized first-tier journal within three years at their current rank, with sufficient evidence of exceptional

contributions.

(3) 卓越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。

(iii) They shall demonstrate their academic achievement through books, patents, or research reports, with sufficient evidence of their exceptional contributions.

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：

ii. Applicants through the track of technology application shall receive at least three research projects granted by the NSTC or the MOE at their current rank, with recognition by the University's relevant units, and fulfill one of the following criteria:

(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。

(i) They shall receive the award of Outstanding Faculty in industrial research or Prominent Faculty in industrial research from the University at their current rank, or

(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。

(iii) they shall achieve a score of 28 or above in A2 research projects and other academic achievements within the past 7 years at the current rank under the category of academic & industry-academia research performance, as stipulated in the University's *Scoring Principles for the Application of Professorship Rank Promotion*.

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。

iii. Applicants through the track of pedagogical research shall receive at least 4 points in teaching honors of teaching performance at their current rank, as stipulated in the University's *Scoring Principles for Application of Professorship Rank Promotion*.

五、系級教評會升等審查程序：

V. Promotion review procedure handled by the department faculty evaluation committee (DFEC):

(一) 系級教評會第一階段升等資格審查：

(1) First-stage promotion qualification review by the DFEC:

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。
- i. The DFEC shall complete the review on promotion applications before the end of the first week of the semester to ensure applicants meet the criteria stipulated in guidelines on the evaluation of professorship rank promotion in individual departments.
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。
- ii. Once an applicant passes the qualification review conducted by the DFEC, the DFEC shall submit relevant documentation, the DFEC meeting minutes, the applicant's publications, the list of candidates for external reviewers, as well as the recusal list of interested person and the list of scholars who might be deemed unfavorable in the evaluation (both provided by the applicant), to the College Faculty Evaluation Committee (CFEC) at its first meeting of each semester.

(二) 系級教評會第二階段審查結果：

(2) Second-stage review by the DFEC:

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。
- i. Once the external evaluation result is returned back to the DFEC, the DFEC shall review and score the applicant's performances in academic & academic industry research, teaching, and services based in the department's scoring indicators and criteria. The applicant shall be deemed passing the department level review when receiving a total score of 70 or above and meeting the passing threshold of external evaluation stipulated in *Guidelines on the Evaluation of Professorship Rank Promotion in the College of Management*.
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。

- ii. Cases that pass the department level review shall be submitted confidentially along with the score of the review, relevant documentation, the DFEC meeting minutes, and chairperson's comments to the CFEC third meeting of each semester. Delays caused by the external evaluation process or the handling of doubts about the result of external evaluation shall not be subject to this restriction.

六、院教評會升等審查程序：

VI. Promotion review procedure handled by the CFEC

(一) 院教評會升等審查程序：

(1) Promotion qualification review by the CFEC:

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。
 - i. The CFEC shall conduct the review on promotion applications at its first meeting of each semester to ensure applicants meet the criteria stipulated in Article 4 of these guidelines.
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。
 - ii. The CFEC members shall evaluate an applicant based on the performance in research, teaching, and services, with a total score of 100. The applicant shall be deemed qualified for external evaluation by the College when receiving an average score of 70 or above from the CFEC members, after excluding the highest and lowest scores.
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。
 - iii. The CFEC shall submit relevant documentation, meeting minutes, and publications of the applicant passing the DFEC qualification review to the University for the external evaluation. The list of candidates for external reviewers shall be submitted along with the recusal list of interested persons and the list of scholars who might be deemed unfavorable in the evaluation (both provided by the applicant),

to the convener of an ad hoc selection committee for external reviewers.

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。

The affiliated department, the College, and the University shall each recommend five competent scholars and experts to be the candidates for external reviewers. The ad hoc selection committee consists of the chairperson of the UFEC, the vice president for Academic Affairs, the vice president for Research & Development, the dean of the College, and one member of the CFEC appointed by the President and determines five reviewers from the candidate list.

(二) 院教評會第二階段審查結果：

(2) Second-stage review by the CFEC

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。
 - i. The scoring indicators and criteria for faculty promotion in the College shall follow the University's *Scoring Principles for the Application of Professorship Rank Promotion*, except for the service performance in the College to be scored based on the College's Score Sheet of Professorship Rank Promotion,.
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。
 - ii. An applicant shall be deemed passing the college level review when meeting the passing threshold of external evaluation stipulated by the College and receiving a total score of 70 or above, combining 90% of the aggregated score from academic & industry-academia research performance, teaching performance, and service performance, and 10% of the discretionary score evaluated by the CFEC based on the applicant's holistic performance.

(1) 院教評會委員評定之分數中最高分及最低分不予計入。

(i) The highest and the lowest scores given by the CFEC members shall be excluded from the calculation.

(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。

(ii) The external evaluation of academic research achievement shall be scored based on the representative work (70%) and reference works (30%). Results of the external evaluation are categorized into four grades: “Excellent” (90 to 100), “Good” (80 to 89), “Average” (70 to 80), and “Poor” (0-69). Applicants applying for professorship or associate professorship shall receive a “Good” grade from at least four reviewers. Moreover, the passing threshold of the external evaluation shall be 77 and 80 for associate professorship and professorship, respectively. Applicants not passing the external evaluation shall be deemed unsuccessful in their application for 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. Cases that pass the college level review shall be submitted along with a score of the review, the CFEC meeting minutes, and the chairperson's comments to the UFEC for the university review.

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。

VII. At least two-thirds of the CFEC members shall attend to review rank promotion cases.

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。

The members of the CFEC with lower professorship rank than those being evaluated shall not conduct the evaluation, and shall recuse themselves when the applicant for promotion is their spouse, relative, or other interested person. The review process and comments shall be kept confidential.

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。

When there exist doubts regarding the interpretation of any documentation in

the promotion application, the CFEC may ask the applicant to provide a written explanation or to attend the CFEC meeting to clear the doubts when necessary.

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。

VIII. The CFEC shall address matters regarding doubt about the result of external evaluation in accordance with the University's relevant regulations.

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。

The applicant who disagrees with the evaluation result from the CFEC may file a grievance or an appeal within thirty days of receiving the notification in accordance with the University's relevant regulations.

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。

IX. These guidelines are approved by the CFEC, the College Council, the UFEC, and the President before implementation. Amendments to these guidelines shall follow the same procedure.