

國立中山大學學術單位自我評鑑作業細則

Operational Regulations Governing Self-Evaluations Conducted by Academic Units

109.09.16本校109學年度第1學期第2次行政會議修正通過

Amended and approved at the 2nd Administrative Meeting in the first semester of the 2020 academic year, Sept. 16, 2020

第一條 國立中山大學(以下簡稱本校)為規範學術單位自我評鑑作業辦理程序，特訂定本作業細則

I. National Sun Yat-sen University (hereafter “the University”) has formulated the *Operational Regulations Governing Self-Evaluations Conducted by Academic Units* (“the Regulations”) to govern self-evaluations performed by academic units at the University.

第二條 各受評單位於評鑑實施週期中有新設班制、停止招生、整併或更名之情形，應即向教務處申請延後評鑑，經校長核可後，得免納入當次評鑑。

辦理自我評鑑或委託評鑑機構辦理品質保證之學術單位，應於教務處調查時，選擇欲採用之方式，陳請校長核可後實施。

委託評鑑機構辦理品質保證之單位，應遵循受委託評鑑機構規定。有關評鑑之其他疑義之處，應經自我評鑑指導委員會審議後實施。

II. During evaluation periods at the University, every unit undergoing evaluation shall apply to the Office of Academic Affairs to postpone its evaluation if it has introduced a new class system, stopped admitting students, or undergone a merger or name change. The evaluation may be postponed upon the approval of the president.

Academic units that either conduct a self-evaluation or entrust a separate institution or agency to handle quality assurance shall select the desired evaluation method during the investigation by the Office of Academic Affairs, on the condition that the method has been reported to and approved by the president.

Units that entrust an institution or agency to handle quality assurance shall follow the regulations set by the entrusted institution or agency. Any disputed evaluation recommendations shall be reviewed by the self-evaluation steering committee before implementation.

第三條 各受評單位自我評鑑之評鑑項目應包括特色與競爭優勢、教育目標與核心能力、課程、教學、師資、學習資源、學習成效、畢業生生涯追蹤機制。

Any dispute over interpretations of these regulations shall be resolved in the court of law based on the Chinese version.

各受評單位另可依辦學特色，增訂評鑑項目。

- III. Self-evaluation items shall include the unit's special features and competitive advantages, educational goals and core competencies, courses, teaching, teachers, learning resources, learning outcomes, and graduate student career tracking mechanisms.

Units may add additional evaluation items if needed due to their unique or special features.

第四條 各受評單位應成立自我評鑑工作小組，其組成方式與職掌如下：

(一)自我評鑑工作小組由各受評單位主管擔任召集人，並由單位主管遴選單位內教師或行政人員若干人組成之。

(二)自我評鑑工作小組應定期召開工作會議，推動評鑑相關工作。

- IV. Every unit undergoing evaluation shall establish a self-evaluation working group. The composition and duties of the working group are as follows:

(1) The self-evaluation working group shall be convened by the head of the unit and shall comprise several faculty members or administrative personnel selected by the unit head.

(2) Self-evaluation working groups shall hold regular meetings to promote evaluation-related work.

第五條 為提升自我評鑑作業品質，各受評單位自我評鑑工作小組成員於評鑑辦理期間每年應至少參加 1 場次由教務處舉辦與評鑑相關之培訓研習課程，或其他校內外單位舉辦之評鑑相關知能研習，並將參與時數登錄於本校自我評鑑專區。

各受評單位自我評鑑委員應詳閱本校提供之「學術單位自我評鑑知能手冊」，瞭解本校自我評鑑之規範。

- V. To improve the quality of self-evaluations, members of self-evaluation working groups shall participate in at least one evaluation training course organized by the Office of Academic Affairs and held during the annual evaluation period. Alternatively, they may participate in evaluation knowledge and skills training held by other units within or outside the University. Working group members shall log the number of hours spent working on the self-evaluation in the self-evaluation area.

The self-evaluation committee members of units undergoing evaluation must thoroughly study the *Academic Unit Self-Evaluation Knowledge and Skills Manual* provided by the University in order to understand the University's self-evaluation standards.

第六條 各受評單位應設自我評鑑委員會，自我評鑑委員會由校外委員組成，其相關規範如下：

(一)校外委員之組成人數以5人為原則(受評單位若為單一學制，可酌予減少1~2人；若多個受評單位合併評鑑，可酌予增加1~2人)，召集人由委員互選產生。

(二)校外委員之名單應由該單位自我評鑑工作小組提交推薦委員名單8~10名(單一學制得酌減人數，但委員名單不得少於6名；合併評鑑得酌增，但委員名單不得超過12名)，經所屬學院確認後，送校長指定副校長及一級主管組成之評鑑委員遴聘委員會選定名單，再提本校自我評鑑指導委員會確認之；委員任期與該次評鑑期程一致。

(三)校外委員應遵守利益迴避原則，有下列情事之一，應予迴避：

1. 過去三年曾在受評鑑單位擔任專任職務。
2. 過去一年曾在受評鑑單位擔任兼任職務。
3. 過去三年內曾申請受評鑑單位之專任教職。
4. 最高學歷為受評鑑單位畢(結)業。
5. 配偶或直系三親等內之親屬為受評鑑單位之教職員生。
6. 擔任受評鑑單位有給或無給職之職務。
7. 過去三年內與受評鑑單位有任何形式之商業利益往來。

(四)校外委員應為財團法人高等教育評鑑中心基金會評鑑人才庫登錄之專家學者，或有充分評鑑經驗之大學教師，或具備專業領域經驗之業界代表。其任務為依本校相關規定執行自我評鑑工作、撰寫自我評鑑結果意見書及回覆評鑑申復案件等相關作業。

(五)自我評鑑委員會應有委員逾三分之二以上出席，始得開會。

VI. Every unit undergoing evaluation shall establish a self-evaluation committee consisting of members selected from outside of the unit. Related standards are as follows:

- (1) In principle, there shall be 5 outside committee members (if the unit undergoing evaluation has a single educational system, the number of outside committee members may be decreased by 1-2; if the unit undergoing evaluation has multiple educational systems, the number of outside committee members may be increased by 1-2). The convener shall be selected from among the committee members.
- (2) The self-evaluation working group shall submit a list of 8-10 recommended outside committee members (the list of recommended committee members shall be 8-10. If the unit undergoing evaluation has only one educational system, this number may be decreased to no less

than 6; if the unit undergoing evaluation has multiple educational systems, this number may be increased to no more than 12). Once the list is verified by the affiliated college, it shall be submitted to an evaluation committee consisting of vice presidents and first-level supervisors designated by the president to determine the committee members to be selected. The list shall then be forwarded to the self-evaluation steering committee for confirmation. The term of office of the committee members shall be identical to the evaluation schedule.

- (3) Outside committee members shall adhere to the principle of recusing themselves in case of a conflict of interest. The following shall be grounds for recusal:
 - i. Having held a full-time position in the unit undergoing evaluation within the past three years.
 - ii. Having held a part-time position in the unit undergoing evaluation within the past year.
 - iii. Having applied for a full-time teaching position in the unit undergoing evaluation within the past three years.
 - iv. Having a highest academic degree issued by the unit undergoing evaluation.
 - v. Having a spouse or lineal relative within the third degree of relationship who is a faculty or staff member of the unit undergoing evaluation.
 - vi. Currently working in a paid or unpaid capacity in the unit undergoing evaluation.
 - vii. Having had any form of business interests involving the unit undergoing evaluation within the past three years.
- (4) The outside committee members shall be scholars and experts registered in the evaluation talent pool database of the Higher Education Evaluation and Accreditation Council of Taiwan, university faculty with sufficient evaluation experience, or industry representatives with professional experience in the field. Their duties shall include performing self-evaluations, writing opinions regarding the self-evaluation results, and responding to appeals in accordance with the relevant regulations of the University.
- (5) Self-evaluation committees shall have more than two-thirds of their members present before holding a meeting.

第七條 各受評單位實施自我評鑑之程序規定如下：

(一)各受評單位自我評鑑工作小組應於期限內完成自我評鑑報告書，

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並送所屬學院審查。

- (二)各學院應由院長召集資深或具評鑑經驗教師若干人，於期限內審查自我評鑑報告書，各受評單位應依審查意見於3週內完成自我改善及修訂自我評鑑報告書。
- (三)已修訂之自我評鑑報告書應提交受評單位自我評鑑委員審閱，由委員提出待釐清問題。各受評單位應於3週內將待釐清問題回覆委員，並遞送所屬學院彙整後送教務處備查。
- (四)各受評單位自我評鑑之實地訪評作業，其流程應包括：
 1. 受評單位簡報說明。
 2. 資料檢閱、訪視教研環境、設備、教學與研究實況。
 3. 自我評鑑委員與受評單位主管、教職員與學生代表晤談。
 4. 自我評鑑委員召開自我評鑑結果討論會。
 5. 自我評鑑委員完成自我評鑑結果意見書，並依據「評鑑指標評量表」評定「通過」、「待改善」與「未通過」之結果(含具體理由與改善建議)後，遞送所屬學院，由所屬學院彙總後分別轉送教務處及各受評單位。
 6. 由教務處將自我評鑑委員之自我評鑑結果意見書提請本校自我評鑑指導委員會審查認可。
- (五)各受評單位對於自我評鑑結果意見書內容有疑慮時，得於接獲自我評鑑結果意見書次日起14天內提出申復。
 1. 提出申復須符合下列要件之一：
 - (1) 自我評鑑委員之訪評過程「違反程序」。
 - (2) 自我評鑑結果書面資料所載內容「不符事實」。
 2. 申復辦理程序如下：
 - (1) 受評單位應填具申復申請書一式8份，由所屬學院彙整後遞送教務處，轉請該單位自我評鑑委員審查。
 - (2) 教務處應於30天內將受評單位自我評鑑委員之申復審查結果提送本校自我評鑑指導委員會審查認可。
 - (3) 經本校自我評鑑指導委員會審查認可結果為申復有理由者，依情節輕重，原評鑑結果得由「待改善」改列為「通過」，「未通過」改列為「待改善」。
 - (4) 經本校自我評鑑指導委員會審查認可結果為申復無理由者，維持原評鑑結果。

VII. The procedures for self-evaluations performed by units undergoing evaluation shall be as follows:

- (1) The self-evaluation working group of any unit undergoing evaluation shall complete a self-evaluation report before the deadline and submit it to their college for review.
- (2) College deans shall recruit several senior faculty or individuals with evaluation experience to review the self-evaluation report before the deadline. Upon receiving the review opinions, the unit undergoing evaluation shall make improvements and revise its self-evaluation report within three weeks.
- (3) The revised self-evaluation report shall be submitted to the self-evaluation committee of the unit undergoing evaluation for review, which shall ask related questions and request clarification. The unit undergoing evaluation shall respond to these questions within three weeks, and submit the responses to its college for compilation. The responses shall then be forwarded to the Office of Academic Affairs for future reference.
- (4) On-site self-evaluations performed by a unit undergoing evaluation shall include the following:
 - i. A presentation delivered by the unit undergoing evaluation.
 - ii. A data review, visits to the teaching and research environment, and equipment, teaching, and research conditions.
 - iii. An meeting between the self-evaluation committee members and the head, faculty members, and student representatives of the unit undergoing evaluation.
 - iv. A self-evaluation results meeting held by the self-evaluation committee members.
 - v. Completion of self-evaluation result opinions by the committee members and a determination of the evaluation results (i.e., “passed,” “improvement needed,” or “failed”) based on the evaluation indicator scale; specific reasons and recommendations for improvement shall be provided for units that fail the evaluation or need to make improvements. Afterwards, the evaluation results shall be forwarded to the respective colleges for compilation and then forwarded separately to the Office of Academic Affairs and the unit undergoing evaluation.
 - vi. The Office of Academic Affairs shall submit the self-evaluation committee members’ self-evaluation result opinions to the self-evaluation steering committee of the

University for review and approval.

(5) Units undergoing evaluation that wish to dispute the self-evaluation results may submit an appeal within 14 days from the day after the day that they receive their self-evaluation result opinions.

i. The appeal must meet one of the following criteria:

(i) A self-evaluation committee member violated the interview procedures.

(ii) The written data in the self-evaluation results are nonfactual.

ii. The appeals procedure is as follows:

(i) The unit undergoing evaluation shall fill out the appeal form (in eight copies). The form shall be collected by the respective college, which shall forward it to the Office of Academic Affairs and then to the self-evaluation committee members for review.

(ii) The Office of Academic Affairs shall submit the appeal review results provided by the self-evaluation committee members to the self-evaluation steering committee for review within 30 days.

(iii) If, upon review, the self-evaluation steering committee determines the appeal to be justified, it may change the original evaluation results from “improvement needed” to “passed” or from “failed” to “improvement needed.”

(iv) If, upon review, the self-evaluation steering committee determines the appeal to be unjustified, the original evaluation results shall remain unchanged.

第八條 各受評單位應於確認自我評鑑結果次日起30天內，完成自我評鑑結果改善規劃書，經院級管考小組審查通過，提校級管考小組審議後，送自我評鑑指導委員會備查。改善規劃書內容應包含：

(一)自我評鑑規劃與實施(流程規劃與說明、委員遴聘方式、自我評鑑工作小組成員及運作方式)。

(二)自我評鑑結果及追蹤改善說明(含改善方向、規劃及預計完成改善日期)。

(三)附件應包含：本校自評法規、自評工作小組會議紀錄、自評委員學經歷、工作小組成員研習狀況、實地訪評當日流程(簡報及訪談名單)、自評委員結果意見書等。

VIII. Units undergoing evaluation shall complete their self-evaluation result improvement plans within 30 days from the day after receiving their self-

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evaluation results. Once an improvement plan passes review by the respective college-level evaluation group, it shall be submitted to the university-level evaluation group for review and then to the self-evaluation steering committee for future reference. The contents of improvement plans shall include the following:

- (1) Self-evaluation planning and implementation (process planning and descriptions, member selection methods, self-evaluation working group members, and operational methods).
- (2) Self-evaluation results and explanation of follow-up improvements (e.g., improvement directions, plans, and estimated improvement completion dates).
- (3) Attachments shall include: self-evaluation regulations of the University, self-evaluation working group meeting minutes, self-evaluation committee members' academic background and experience, working group members' study status, on-site evaluation procedures on the day (list of presentations and interviews), and self-evaluation committee members' review opinions.

第九條 學術單位自我評鑑結果公布方式：

- (一) 學術單位自我評鑑結果，經本校自我評鑑指導委員會認可後，將結果公告於本校官方網站校務資訊公開專區與學術單位自我評鑑專區。
- (二) 各受評鑑單位應於結果公告次日起30天內，將自我評鑑結果改善規劃書公布於學術單位自我評鑑專區。

IX. Academic unit self-evaluation result announcements:

- (1) Once the academic unit self-evaluation results have been approved by the self-evaluation steering committee of the University, they shall be announced in the public information disclosure section of the University's official website as well as in the academic unit's self-evaluation section.
- (2) Units undergoing evaluation shall publish their self-evaluation result improvement plans in the academic unit's self-evaluation section within 30 days from the day after the self-evaluation results are announced.

第十條 學術單位自我評鑑結果公告後，由學校成立校級及院級管考小組。校級管考小組由副校長召集教務長、研發長與學院院長組成，針對各學院彙整之自我評鑑結果進行追蹤管考；院級管考小組由學院院長召集所屬系、所、學位學程主管組成，針對系、所及學位學程之自我評鑑結果進行追蹤管考。

各級評鑑結果之追蹤改善流程如下：

(一)評鑑結果為「通過」之單位，應依自我評鑑委員之改善建議於次學年完成「自我評鑑改善追蹤報告」，並經院級管考小組審查通過，提校級管考小組審議後，送自我評鑑指導委員會備查。

(二)評鑑結果為「待改善」之單位：

1. 受評單位應於自我評鑑結果公告次日起30天內，依照自我評鑑委員之改善建議，完成追蹤評鑑改善計畫書，經院級管考小組審查通過，提校級管考小組審議後實施，改善期間為1年。
2. 受評單位應於1年後進行「追蹤評鑑」，評鑑內容僅針對前次評鑑結果所提之問題與缺失進行追蹤管考，評鑑流程依第七條學術單位自我評鑑程序進行。
3. 追蹤評鑑結果分為「追蹤評鑑通過」及「追蹤評鑑未通過」，由受評單位自我評鑑委員會依評鑑指標評定，經本校自我評鑑指導委員會審查認可後公告。受評單位並得依本校自我評鑑程序提出申復。

(1)申復經本校自我評鑑指導委員會審查認可結果為有理由者，追蹤評鑑結果得由「追蹤評鑑未通過」改列「追蹤評鑑通過」。

(2)追蹤評鑑通過之受評單位，應依自我評鑑委員之改善建議於次學年完成「自我評鑑改善追蹤報告」，經院級管考小組審查通過，提校級管考小組審議後，送自我評鑑指導委員會備查。

(3)追蹤評鑑未通過之受評單位，應於1年後再次進行「追蹤評鑑」。

(三)評鑑結果為「未通過」之單位：

1. 受評單位應於評鑑結果公告次日起30天內，由院級管考小組進行專案輔導，依照自我評鑑委員之改善建議，完成再評鑑改善計畫書，經院級管考小組審查通過，提校級管考小組審議後實施，改善期間為1年。
2. 受評單位應於改善期間內，每3個月填寫改善進度季檢核表，由院級管考小組進行管考。
3. 受評單位應於1年後進行「再評鑑」，評鑑內容需依據本校學術單位自我評鑑項目，重新進行評鑑，評鑑流程依第七條學術單位自我評鑑程序進行。

4. 再評鑑結果分為「再評鑑通過」及「再評鑑未通過」，由受評單位自我評鑑委員會依評鑑指標評定，經本校自我評鑑指導委員會審查認可後公告。受評單位並得依本校自我評鑑程序提出申復。

- (1) 申復經本校自我評鑑指導委員會審查認可結果為有理由者，再評鑑結果得由「再評鑑未通過」改列「再評鑑通過」。
- (2) 再評鑑通過之受評單位，應依自我評鑑委員之改善建議於次學年完成「自我評鑑改善追蹤報告」，經院級管考小組審查通過，提校級管考小組審議後，送自我評鑑指導委員會備查。
- (3) 再評鑑未通過之受評單位，應於1年後再次進行「再評鑑」，惟至多以2次為限。

X. Once the academic unit self-evaluation results have been announced, the University shall establish university-level and college-level evaluation groups. The senior vice president shall appoint the vice president for academic affairs, vice president for research and development, and college deans as members of the university-level evaluation group. The evaluation group shall track and manage the self-evaluation results compiled by the colleges. The college deans shall appoint the heads of their respective departments/graduate institutes/degree programs as members of their college-level evaluation group, which shall track and manage the self-evaluation results of the college's departments/graduate institutes/degree programs.

- (1) Units that pass the evaluation shall complete a self-evaluation improvement and follow-up report in the following semester based on the self-evaluation committee members' recommendations, which report shall be forwarded to the respective college-level evaluation group for review and approval. Once approved, the report shall be forwarded to the university-level evaluation group for review and to the self-evaluation steering committee for future reference.
- (2) Units whose evaluation result is "improvement needed":
 - i. Units undergoing evaluation shall complete self-evaluation improvement and follow-up plans based on the self-evaluation committee members' recommendations within 30 days from the day after the self-evaluation results are announced. The plans shall be implemented after they have been reviewed and approved by the college-level evaluation group and reviewed by the university-level evaluation group. The improvement period shall be one year.
 - ii. When one year has passed, the unit shall undergo a follow-up evaluation in accordance with the academic unit self-evaluation

procedures described in Article 7 above, but focusing solely on the problems and shortcomings brought up in the previous evaluation results.

iii. Follow-up evaluation results shall be either “passed re-evaluation” and “failed re-evaluation.” Results shall be determined by the self-evaluation committee based on the evaluation indicators. The evaluation results shall be announced after review and approval by the University’s self-evaluation steering committee. Units undergoing evaluation may submit an appeal in accordance with the self-evaluation procedures of the University.

(i) If the self-evaluation steering committee determines the appeal to be justified upon review, it may change the evaluation result from “failed re-evaluation” to “passed re-evaluation.”

(ii) Units that pass the re-evaluation shall complete a self-evaluation improvement and follow-up report in the following semester based on the self-evaluation committee members’ recommendations. The report shall then be reviewed and approved by the college-level evaluation group and then submitted to the university-level evaluation group for review and the self-evaluation steering committee for future reference.

(iii) Units that fail the re-evaluation shall undergo a follow-up evaluation one year later.

(3) Units that fail the initial evaluation:

i. The unit undergoing evaluation shall receive program advising provided by the college-level evaluation group and develop a re-evaluation improvement plan based on the self-evaluation committee members’ recommendations within 30 days from the day after the self-evaluation results are announced. The plan shall be implemented upon review and approval by the college-level evaluation group and review by the university-level evaluation group. The improvement period shall be one year.

ii. During the improvement period, the unit undergoing evaluation shall fill out an improvement progress checklist every three months, which shall be reviewed by the respective college-level evaluation group.

iii. The unit undergoing evaluation shall undergo re-evaluation after one year in accordance with the self-evaluation procedures described in Article 7 above, based on the academic unit’s self-evaluation items.

- iv. Re-evaluation results shall include “passed re-evaluation” and “failed re-evaluation,” and shall be determined by the self-evaluation committee based on evaluation indicators. The re-evaluation results shall be announced upon approval of the University’s self-evaluation steering committee. The unit undergoing evaluation may submit an appeal in accordance with the self-evaluation procedures of the University.
- (i) If the self-evaluation steering committee determines the appeal to be justified upon review, it may change the re-evaluation result from “failed re-evaluation” to “passed re-evaluation.”
 - (ii) If the unit passes the re-evaluation, it shall complete a self-evaluation improvement and follow-up report in the following semester based on the self-evaluation committee members’ recommendations. The report shall then be forwarded to the respective college-level evaluation group for review and approval. Once approved, it shall be forwarded to the university-level evaluation group for review and to the self-evaluation steering committee for future reference.
 - (iii) If the unit fails the re-evaluation, it shall undergo a re-evaluation one year later. The maximum number of re-evaluations is two.

第十一條 本校得依據學術單位自我評鑑結果，作為招生員額調整、資源分配與校務發展規劃之參考依據。

- XI. The University may use the academic unit self-evaluation results as a reference for making adjustments to student admission numbers, resource allocations, and school development planning.

第十二條 本校辦理學術單位自我評鑑之經費，由校務基金相關經費支應。

- XII. Funding for self-evaluations shall be covered by the school affairs-fund of the University.

第十三條 本作業細則經行政會議通過，陳請校長核定後實施，修正時亦同。

- XIII. These Regulations shall come into effect after passage in an administrative meeting and approval by the president. The same rule shall apply when amendments are made hereto.