

The University of Macau
Regulations of the Personnel Affairs of UM
Chapter 9 - Promotion

Document code:	ADMO-HRS.03/201303/102.r01
Approval date:	14 December 2016
Effective date:	1 January 2017
Supersedes:	HRO-HRD.03/201303/102.r01

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Keywords: *academic staff promotion advisory committee, appeal, assessment, conflict of interest, promotion*
Remarks: *Chinese version is available as enclosed. Summary of Changes – 1. With the aim of optimizing and simplifying the operation of administrative units as well as keeping in line with the need of campus development, the following unit is revised: To establish the Office of Administration, with the Human Resources Section, which is simplified from the original Human Resources Office, and the Procurement Section, which is originally subordinate to the Finance Office, subordinate to it.*

Section 1
Academic Staff

According to Item 2 and 3 of Article 76 of [the Personnel Statute of UM \(ADMO.02/201205/999\)](#), this section of regulations governs the academic promotion system. Staff in the Residential Colleges are subject to the promotion system stipulated in [Chapter 12 of Regulations of the Personnel Affairs of UM \(ADMO-HRS.03/201502/403\)](#).

Article 1
Principles

The University attaches importance to the excellence in and contributions to teaching, research and service of the academic staff and recognizes the achievements in these areas through promotion.

Article 2
Promotion Procedures

Promotion of academic staff shall undergo the following procedures:

1. The Office of Administration announces acceptance of applications for academic promotion normally at the beginning of every calendar year.
2. An academic staff member applying for promotion shall submit his/her application dossier to the head of department (or the programme director/programme coordinator, if

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appropriate), who shall forward the same to the head of the academic unit (usually the faculty dean, the institute/centre director).

3. An application is regarded as early promotion under the following circumstances:
 - 1) An applicant who has completed less than five years of service in his/her current position on a full-time basis in UM and/or other equivalent institutions at the time of application, and
 - 2) An applicant who has completed less than two years of service in his/her current position on a full-time basis in UM at the time of application.

An early promotion application is considered only on an exceptional performance basis. The consideration of the experience for the academic promotion will be at the discretion of the faculty dean (or the institute/centre director), the Faculty-level Academic Staff Promotion Advisory Panel (hereinafter referred to as the Panel), the University-level Academic Staff Promotion Advisory Committee (hereinafter referred to as the Committee) and/or the Rector.

4. To help prepare the Panel meeting, the head of department (or the programme director/programme coordinator, if appropriate) shall make an initial assessment of the application for promotion, and then the faculty dean (or the institute/centre director) shall also provide his/her initial opinions on the application.
5. The faculty dean (or the institute/centre director) shall propose the composition of the Panel to the Rector or his/her delegate for approval.
6. The Panel shall submit its assessment and recommendations to the faculty dean (or the institute/centre director).

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7. The faculty dean (or the institute/centre director) shall take the assessment and recommendations of the Panel into consideration, and submit his/her own assessment and recommendations together with those of the Panel to the Rector for further consideration.
 8. The Rector shall convene the Committee to assist in the final decision-making on the applications for promotion.
 9. Details of the promotion procedures for academic staff shall be defined by internal rules.

Article 3
Assessment Criteria

1. The Panel/Committee and reviewers shall assess the applicants on their contributions in research, teaching and service. Promotion to the rank of Professor requires, in particular, excellent performance in research while promotion to the rank of Associate Professor requires a high standard of performance in both research and teaching, without prejudice to the other provisions in Item 2 and Item 3 of this article.
2. Teaching track Assistant Professors, who were appointed before academic year 2009/2010, may be promoted to the rank of Associate Professor with an excellence performance in teaching and service (e.g. serving as an active fellow in a residential college, leading/assisting on special university projects/duties, etc.), while their research performance standards can be different from the research track and balanced track Assistant Professors.
3. Teaching track Associate Professors, who were appointed before academic year 2009/2010, will only be promoted to the rank of Professor if he/she meets the same performance standard as those on research track or balanced track.

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4. Details of the assessment criteria shall be defined by internal rules.

Article 4
Faculty-level Academic Staff Promotion
Advisory Panel

1. There are two types of academic promotion:
 - 1) Promotion to the rank of Professor or Associate Professor; and
 - 2) Promotion to the rank of Assistant Professor or Senior Instructor.
2. The Panel assessing the promotion to the rank of Professor or Associate Professor shall include the Vice Rector responsible for academic affairs or research who acts as the Chair. Members shall include the faculty dean (or the institute/centre director), internal academic members, and if deemed necessary external academic member(s).
3. The Panel assessing the promotion to the rank of Assistant Professor or Senior Instructor shall include the faculty dean (or the institute/centre director) who acts as the Chair. Members shall include academic staff members from different academic units.
4. If the head of department (or the programme director/programme coordinator, if appropriate) is not an official member of the Panel, he/she may still be invited to attend the Panel meeting and present the application(s) of his/her department/programme and answer questions. However, he/she does not have the right to vote or to participate in the closed meeting of the Panel.
5. Applications for promotion to the rank of Assistant Professor or Senior Instructor are not required to go through the stage of assessment by the Committee.

Article 5

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University-level Academic Staff Promotion
Advisory Committee

The Committee shall at least include the following members:

1. Chair: The Rector or his/her delegate.
2. Members:
 - 1) All Vice Rectors;
 - 2) The deans of all the faculties, except the Dean of Honours College;
 - 3) The Director of Institute of Chinese Medical Sciences; and
 - 4) One academic representative from each of the faculties and institute as stipulated in Sub-item 2 and 3 of Item 2 of this Article.

Article 6
Communication of the Results of the Promotion
Assessment

An applicant, the faculty dean (or the institute/centre director) and the head of department (or the programme director/programme coordinator, if appropriate) shall be notified the result of the promotion assessment in writing. Details shall be defined by internal rules.

Article 7
Appeal Procedures

1. An unsuccessful applicant for promotion may appeal the result of the promotion assessment in writing to the Rector within 15 working days after receiving the written decision letter. The appeal shall normally be handled by the Rector, but he/she may refer the appeal to the Standing Committee of the University Council for handling. Appeals may be accepted by the relevant party only on the grounds of a procedural irregularity.
2. The Rector may assign the Vice Rector responsible for academic affairs/research or convene a committee to assist him/her to

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investigate the appeal.

3. If assigned, after reassessing the case under appeal, the above-mentioned party in the Item 2 of this article shall make a recommendation to the Rector for re-consideration. Subsequent to the re-consideration, the decision made by the Rector shall be final.

Article 8

General Codes of Conducts for Promotion

All parties involved in the promotion procedure shall comply with the following codes of conducts at any stage of the procedure:

1. Conflict of Interest
 - 1) Any party involved in the promotion procedure shall not participate in the assessment procedure of his/her spouse, lineal relatives by blood or by marriage, collateral relatives by blood or by marriage up to the third degree of kinship;
 - 2) A reviewer or Panel/Committee member shall be replaced when he/she is perceived to have a potential conflict of interest. The concerned faculty dean (or the institute/centre director) may propose to the Rector or his/her delegate to change the composition of the Panel/Committee on such grounds;
 - 3) The applicant shall not be the member of the Panel/Committee as stipulated in Article 4 and 5 of this chapter under any circumstances, in order to avoid conflict of interest;
 - 4) Other general rules of the University on the avoidance system shall also apply.
2. Obligation of Confidentiality and Non-disclosure
 - 1) Without a prior written consent of the Rector, any party involved in the promotion procedure shall not disclose to anyone any

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promotion-related data and information by any means of media and communication, including, but not limited to the following documents: files, records, research works, publications, minutes, reports, appraisals, evaluations, scores and the personal data of the applicant;

- 2) Without a prior written consent of the Rector, any party involved in the promotion procedure shall not use the promotion related data and information for any purpose other than the evaluation of the applicant;
- 3) Any party involved in the promotion procedure who has wrongly used or disclosed any promotion-related data and information shall be subject to administrative and criminal liability.

Section 2
Administrative Staff

According to Item 2 and 3 of Article 92 of [the Personnel Statute of UM \(ADMO.02/201205/999\)](#), this section of regulations governs the promotion assessment for administrative staff.

Article 9
Principles

The University provides promotion opportunities for appropriately qualified administrative staff. Keeping abreast of human resources demand and staffing establishment of the University, the principal aim of promotion is to recognize and reward members with good performance at the University.

Article 10
Promotion Procedures

1. With approval of the Rector, the Office of

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Administration conducts the promotion process normally once per year.

2. During that period, the head of each unit may submit proposals for promotion to the Office of Administration according to work demand, allocation of work, performance of the administrative staff and conditions for promotion when the approved annual budget allows.
3. Under special circumstances, promotion may also be initiated by a head of unit at any time.
4. After analysis by the Office of Administration and approval from the Rector, the Office of Administration shall announce internally the vacancies for promotion.
5. Eligible candidates shall submit their applications to the Office of Administration.
6. The University shall form one or more Promotion Panels. They are responsible for the promotion assessment procedures and shall submit the final results for the Rector's approval.

Article 11

Scope of Examination and Assessment Criteria

1. The Promotion Panel decides on the scope of examination and the assessment criteria. Assessment will take one or more of the following forms:
 - 1) Documentary examination;
 - 2) Written examination;
 - 3) Interview.
2. The Promotion Panel shall assess the candidates in the following areas:
 - 1) Work performance and contribution to the University;
 - 2) Knowledge, qualifications and experience.

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Article 12
Promotion Panel

The Promotion Panel shall be appointed by the Rector or the Vice Rector responsible for administrative affairs. When the Rector is involved in the Promotion Panel, he shall be the one to make the appointment. The Promotion Panel shall comprise the following members:

1. Chair: The Rector, the Vice Rector responsible for administrative affairs, the head of an academic unit, the head of an academic support unit or the head of an administrative unit.
2. Members:
 - 1) At least two senior administrative staff members.
 - 2) Under normal circumstances, the Promotion Panel shall include members from the Office of Administration and from different units.

Article 13
Communication of Results on Promotion
Assessment

The results of the promotion assessment shall be communicated to the heads of units and the staff members concerned in writing.

Article 14
Appeal Procedures

1. An unsuccessful candidate for promotion may appeal the result of promotion assessment in writing to the Rector within 10 working days after receiving the notification. If the Rector is a member of the Promotion Panel, the candidate may then appeal to the Standing Committee of the University Council. Appeals will be considered by the related entity only on the grounds of procedural irregularity.
2. The Rector or the Standing Committee of the University Council may either assign the same

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Promotion Panel to reconsider the application based on new arguments and evidences, or set up a new Promotion Panel to handle that appeal.

3. The decision made by the Promotion Panel after re-consideration shall be final.

Article 15
Conflict of Interest

1. Any staff member shall not be involved in the promotion assessment procedure of his/her spouse, lineal relatives by blood or by marriage, or collateral relatives by blood or by marriage up to the third degree of kinship.
2. If it is suspected that the assessment is not conducted in an impartial way, especially when conflict of interest exists, the member of Promotion Panel shall be replaced.

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《澳門大學人事管理規章》

第九章

晉升

第一節

教學人員

根據 [《澳門大學人員通則》](#) (ADMO.02/201205/999) 第七十六條第二及三款，本規章此節訂定教學人員晉升評核制度。住宿式書院人員的晉升評核制度由 [《澳門大學人事管理規章》](#) 第十二章 (ADMO-HRS.03/201502/403) 訂定。

第一條

原則

澳大重視教學人員在教學、研究以及服務方面所作出的成就和貢獻，並以晉升作為獎勵。

第二條

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晉升程序

教學人員的晉升應通過下列程序：

一、行政部一般在每曆年的年初宣佈接受教學人員的晉升申請。

二、申請晉升的教學人員應將其晉升申請文件提交至系主任（或課程主任/課程統籌人，如適用），由其轉交至其所屬的學術單位的主管（一般為學院院長或研究院院長/中心主任）。

三、屬下列情況的申請為提前晉升：

（一）申請時，在澳門大學及/或其他同級院校擔任其現時的全職職位少於五年，及

（二）申請時，在澳門大學擔任其現時的全職職位少於兩年。

僅當申請人有傑出表現時，方可考慮接納其提前晉升的申請。學院院長（或研究院院長/中心主任）、學院級別的教學人員晉升諮詢委員會（以下簡稱“學院委員會”）、大學級別的教學人員晉升諮詢委員會（以下簡稱“大學委員會”）及/或校長將對申請者的經驗作出評審。

四、為準備學院委員會會議，系主任（或課

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程主任/課程統籌人，如適用) 應對晉升申請作出初步評審，學院院長 (或研究院院長/中心主任) 及後亦應對申請提供其初步評審意見。

五、學院院長 (或研究院院長/中心主任) 應將學院委員會的組成建議提交校長或其授權者批核。

六、學院委員會應將其評審及建議提交學院院長 (或研究院院長/中心主任)。

七、學院院長 (或研究院院長/中心主任) 應考慮學院委員會之評審及建議，連同其本人的評審及建議一併呈交校長作進一步考慮。

八、校長應召集大學委員會以協助其對晉升申請作出最後決定。

九、教學人員晉升的詳細程序由內部規條訂定。

第三條

評核準則

一、學院委員會/大學委員會及評審員應就申請者在研究、教學及服務方面的貢獻作出評

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核。晉升至教授職級的申請者尤其應有傑出的研究表現，而晉升至副教授職級的申請者則應有優秀的研究及教學表現，但不妨礙本條第二款及第三款的規定。

二、於 2009/2010 學年前入職的教學為主型助理教授須在教學及服務(如積極從事住宿式書院導師工作、領導/協助大學的特別項目/工作等)方面有傑出表現，方可晉升至副教授職級，而其研究表現的標準可有別於研究為主型及平衡型助理教授的標準。

三、於 2009/2010 學年前入職的教學為主型副教授須符合研究為主型或平衡型副教授的晉升標準，方可晉升至教授職級。

四、詳細的評核準則由內部規條訂定。

第四條

學院級別的教學人員晉升諮詢委員會

一、教學人員晉升分為以下兩類：

- (一) 晉升至教授或副教授職級；及
- (二) 晉升至助理教授或高級導師職級。

二、評審晉升至教授或副教授職級的學院委員會應包括一位負責學術事務或研究的副校長，

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並由其擔任主席。成員應包括學院院長（或研究院院長/中心主任）、校內教學人員，及如有需要可包括校外教學人員。

三、評審晉升至助理教授或高級導師職級的學院委員會應包括學院院長（或研究院院長/中心主任），並由其擔任主席。成員應包括來自不同學術單位的教學人員。

四、若系主任（或課程主任/課程統籌人，如適用）並非學院委員會正式成員，其仍可被邀請出席該學院委員會會議，以及介紹屬於其學系/課程的申請個案及回答提問，但其沒有投票權，且不能參加學院委員會的閉門會議。

五、晉升至助理教授或高級導師職級的申請不須進入大學委員會的評審階段。

第五條

大學級別的教學人員晉升諮詢委員會

大學委員會應至少包括以下成員：

- 一、主席：校長或其授權者。
- 二、成員：
 - （一）所有副校長；
 - （二）所有學院院長，榮譽學院院長除外；
 - （三）中華醫藥研究院院長；及

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(四) 本條第二款(二)及(三)所指
之學院及研究院的學術代表各一
名。

第六條

通知晉升評審結果

晉升評審結果應以書面方式通知申請者、學院院長(或研究院院長/中心主任)及系主任(或課程主任/課程統籌人,如適用)。詳細規定由內部規條訂定。

第七條

訴願程序

一、晉升未獲通過的申請者,可在收到書面通知書後之十五個工作日內,就晉升評審結果以書面方式向校長提起訴願。訴願個案一般應由校長處理,校長亦可將訴願個案提交予校董會常設委員會處理。有關實體僅接納以違反晉升程序規定為理據而提起的訴願。

二、校長可委任負責學術事務或研究的副校長,又或召集一個委員會以協助他/她調查該訴願。

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三、本條第二款所指之實體如獲委任，應在重新審理訴願個案後，將建議提交予校長再作重新考慮。校長經重新考慮後所作出的決定為最終決定。

第八條

晉升過程中的一般行為守則

所有參與晉升程序的人員，於晉升程序的任何階段，均應遵守以下行為守則：

一、利益衝突

- (一) 任何參與晉升程序的人員不得參與對其配偶、直系血親或姻親，或三親等內的旁系血親或姻親所進行的評核程序。
- (二) 如認為評審員或學院委員會/大學委員會成員可能涉及利益衝突時，有關人員應被替換。學院院長（或研究院院長/中心主任）可根據此理由向校長或其授權者建議更改學院委員會/大學委員會的組成名單。
- (三) 在任何情況下，申請者不能擔任本規章第四及第五條所規定的學院委員會/大學委員會成員，以避免任何利益衝突。

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(四) 大學其他有關迴避制度的一般規條
也應適用於此。

二、保密及不得洩露義務

- (一) 未經校長的事先書面同意，任何參與晉升程序的人員不得向任何人以任何媒體和通訊方式洩露任何有關晉升的資料及信息，包括但不限於以下形式的文件：申請者的檔案、記錄、研究工作、刊物、會議記錄、報告、評核、評估、成績及個人資料等。
- (二) 未經校長的事先書面同意，任何參與晉升程序的人員不應將與晉升相關的晉升資料及信息使用於評審申請者以外之用途。
- (三) 任何參與晉升程序的人員若不當使用或洩露與晉升相關的晉升資料及信息應承擔行政及刑事責任。

第二節

行政人員

根據 [《澳門大學人員通則》](#)

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[\(ADMO.02/201205/999\)](#)第九十二條第二及三款，

本規章此節訂定行政人員之晉升評核制度。

第九條

原則

澳大為符合資格的行政人員提供晉升的機會。在配合大學的人力資源需求及人員編制下，晉升的首要目的是認同和獎勵在大學有優秀工作表現的人員。

第十條

晉升程序

一、經校長批准，行政部一般每年進行一次晉升程序。

二、在此期間，根據工作需要、職務安排、行政人員的表現以及晉升條件，各單位主管在已批核的年度財政預算許可下，可向行政部提出晉升建議。

三、在特殊的情況下，單位主管亦可在其他時間主動提出晉升建議。

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四、經行政部分析及校長批准後，行政部須在校內公佈晉升的職位空缺。

五、符合晉升條件者應向行政部遞交申請。

六、大學須組成一個或多個晉升委員會，以負責晉升評核程序，並將最後結果呈予校長核准。

第十一條

考核範圍及評核準則

一、考核範圍及評核準則由晉升委員會決定，通常會進行以下一項或多項的考核：

- (一) 文件審核；
- (二) 筆試；
- (三) 面試。

二、委員會應根據以下各方面對申請者進行評核：

- (一) 工作表現和對大學的貢獻；
- (二) 知識、能力和經驗。

第十二條

晉升委員會

晉升委員會由校長或負責行政事務的副校長委任。當校長參與晉升委員會時，則必須由其

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作出委任。委員會成員為：

一、主席：由校長、負責行政事務的副校長、
學術單位主管、學術輔助部門主管或行
政部門主管擔任。

二、成員：

- (一) 至少兩名高級行政人員；
- (二) 一般情況下，晉升委員須包括行
政部的代表以及來自不同單位的
代表。

第十三條

通知晉升評審結果

晉升評審結果須通過書面方式通知相關單位
主管及有關之行政人員。

第十四條

訴願程序

一、晉升不獲通過的行政人員，可在收到通
知書日起十個工作日內，就晉升評審結果以書
面方式向校長提起訴願。如校長為晉升委員會
成員，則可向校董會常設委員會提起訴願。有
關實體僅接納以違反晉升程序規定為理據而提
起的訴願。

二、校長或校董會常設委員會可委派原晉升

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委員會就新論點及證據重新對申請作出考慮，
亦可另成立新的晉升委員會處理該訴願。

三、晉升委員會之重審決定為最後決定。

第十五條

利益衝突

一、任何工作人員不得參與對其配偶、直系血親或姻親，或三親等內的旁系血親或姻親所進行的晉升評核程序。

二、如懷疑評核人未能以無私的態度進行評核，尤其當存在利益衝突時，應替換評核人。