National Central University Regulations Governing the Management and Promotion of Research and Development Results

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Article 1 (Legal Basis)

To effectively utilize scientific and technological research and development results so as to create optimal and concrete benefits from investments therein, the National Central University (henceforth, NCU) has established the National Central University Regulations Governing the Management and Promotion of Research and Development Results (henceforth, the Regulations) pursuant to the Fundamental Science and Technology Act, the Government Scientific and Technological Research and Development Results Ownership and Utilization Regulation, the MOE Scientific and Technological Research and Development Results Ownership and Utilization Regulation, NSTC Scientific and Technological Research and Development Results Ownership and Utilization Regulation and the MOEA Regulations Governing the Ownership and Utilization of the Results of Scientific and Technological Research and Development.

For research and development projects funded by government agencies of our country through allocated subsidies, the ownership, management, and utilization of the results shall be handled in accordance with the regulations of the respective government agency. If no such regulations are specified, the provisions of these Regulations shall apply.

Article 2 (Definition of Terminology)

The term “research and development results of NCU,” or “work-related R&D results” refers to results that academic and research personnel, staff or students obtain from the following researches and developments:

I. Any results developed using NCU's resources, existing R&D results or school funds.

II. R&D results obtained by funding or commission by government agencies, legal persons, unincorporated associations or natural persons to NCU.

The results mentioned in the preceding paragraph include but not limited to technologies, patents, copyrights, trademarks, integrated circuit layouts, know-hows, trade secrets, computer software, sensitive technologies regulated by the government and other related technical information which belong to NCU in accordance with government regulations or agreements.

The term "technology transfer" herein shall refer to the process of licensing or assignments of NCU technological research and development results, including supplying technical service or materials for industrial application.

The definition, content and management of "sensitive technologies regulated by the government and other related technical information" in the first paragraph shall be based on the provisions of the Security Manual for Government-funded Sensitive Technology Research Projects.

Article 3 (Ownership of Results)

Unless otherwise regulated by law or agreed upon in contracts, intellectual property rights (IPR) of NCU R&D results shall be owned by NCU.

The R&D results obtained in NCU research projects funded or commissioned by government agencies, legal persons, unincorporated associations or natural persons, government projects jointly applied for, or joint R&D projects shall be owned by NCU and government agencies, legal persons, unincorporated associations or natural persons either jointly or exclusively, based on the proportion and contribution of capital and labor, as well as R&D contribution. The rights and obligations along with ownership percentages shall be specified in a contract.

If the R&D results mentioned in the preceding paragraph are academic papers solely owned by NCU:

I. If the paper results from a research project funded, commissioned, or sponsored by the National Science and Technology Council (NSTC), NCU shall grant the copyright of the paper to the inventor (creator), authorizing them to further license third parties to publish the paper in academic journals, theses, or compilations.

II. If the paper does not result from a research project funded, commissioned, or sponsored by the NSTC, NCU shall transfer the entire copyright of the paper to the inventor (creator). The inventor (creator) shall grant NCU a permanent, royalty-free, non-exclusive license to make the paper publicly accessible for research and educational purposes.

If NCU academic and research personnel, staff, or students wish to declare their inventions (creations) as "R&D results achieved not in the course of duties," they should fill out the NCU reporting documents, provide a statement explaining that they have not used NCU resources and existing R&D results of NCU along with supporting documents, and inform NCU of their R&D or creation processes. All of the documents shall be submitted to the Research and Development Office. After review and approval by the Intellectual Property Right Review Committee, the ownership of the R&D results shall be attributed to the inventor (creator), and the inventor (creator) shall bear the costs and responsibilities of his or her R&D results.

Article 4 (Applicable Laws and Responsible Unit)

The ownership, utilization and management of R&D results of NCU shall be undertaken in accordance with the Regulations. Matters not specified in the Regulations or otherwise specially regulated by relevant government laws shall be undertaken in accordance with the relevant laws and regulations.

R&D results owned by NCU shall be managed and promoted by the Research and Development Office (henceforth, RDO).

Article 5 (Formation of the Intellectual Property Right Utilization and Contribution Review Committee, and Convening and Resolution of Meetings of the Committee)

In order to facilitate the management, promotion and utilization of R&D results, NCU has established the Intellectual Property Right Utilization and Contribution Review Committee (henceforth, the IPR Review Committee), consisting of three ex oficio members including the Vice President and Deputy Vice President for Research and Development, the Director of the Center for Academia and Industry Collaboration, and four to eight internal or external scholars or experts in relevant fields recommended by the Vice President for Research and Development. Each aforementioned internal scholar or expert of each IPR Review Committee may receive an administrative support payment of NT$1,000. Payments for external scholars or experts shall be made separately in accordance with the relevant provisions.

The IPR Review Committee shall convene meetings based on operational needs, and the Vice President or Deputy Vice President for Research and Development shall serve as the convener and chairperson.

For special cases involving a conflict of interest, technology transfers of substantial amount or special nature, the scholars or experts mentioned in the first paragraph and the convener of the IPR Review Committee may be selected by the NCU President. Of which, technology transfers of substantial amount refer to cases where the royalty exceeds NT$30 million.

Except for cases in the previous paragraph, in which the quorum shall require the attendance of two-thirds or more of the IPR Review Committee members and the consent of a majority of the attending members for approval, the quorum of the remaining cases shall require the attendance of a majority of the IPR Review Committee members and the consent of a majority of the attending members for approval.

Article 6 (Responsibilities of the Intellectual Property Right Utilization and Contribution Review Committee)

The Committee has the following responsibilities:

I. Review of licensing or assignments of R&D results.
II. Review of values and prices of R&D results.
III. Review of forgoing maintenance.
IV. Review of ownership of controversial or special R&D results.
V. Review of patent application, and maintenance and management of R&D results.
VI. Review of other material issues related to R&D results.

Article 7 (Internal Patent Application and Review Procedures)

To register a patent on R&D results of NCU, the inventor (creator) should fill out the NCU application documents and submit them to the Research and Development Office. After review and approval by the IPR Review Committee, NCU shall apply for the patent. Of which, in addition to the above procedures, for patent application in Mainland China, the inventor (creator) representative of NCU shall obtain the consent of the entire body of inventors (creators) and sign a contract with NCU to allow the patent to be registered under the ownership of NCU. If the inventor (creator) fails to complete the above process on schedule, the Research and Development Office may opt not to accept the application.

Application of patent on the same technology in different countries or regions shall be deemed as different applications and all of them shall be reviewed and approved by the IPR Review Committee. The review may be conducted by meeting or in writing. If an application is approved after review, a patent may be applied for based on the review results. If the application is not approved after review, the inventor (creator) may revise and apply for a second review afterwards.

For patent applications on R&D results, if the application is not submitted to the Research and Development Office on time as specified in the first paragraph and the inventor (creator) wishes to apply for the patent independently and bear all application, maintenance and other costs, he or she shall fill out the relevant documents and submit them to the Research and Development Office for review and approval before applying for a patent under the ownership of NCU. The approved patent shall be owned by NCU. The inventor (creator) may apply to the IPR Review Committee to review whether the patent should be transferred to NCU for maintenance. If the Committee approves, the application and maintenance costs of the patent generated before the transfer shall be borne by the inventor (creator) and the costs after the transfer shall be shared based on the resolution of the IPR Review Committee.

The inventor (creator) may not apply for patent under his or her own name or a third party's name in any country or region without NCU’s written consent. Any patent that the inventor (creator) independently applies for and obtains shall be owned by NCU and the patent shall be transferred accordingly. If the inventor (creator) signed licensing or assignment contracts with a third party prior to transferring the patent to NCU, all of the rights obtained thereof shall be turned in to NCU, and NCU shall allocate the rights based on the percentages specified in Article 16 of the Regulations. If the inventor (creator) fails to turn in the rights after receiving notification from the Research and Development Office, NCU may suspend or reject the inventor’s (creator’s) new patent application and deduct amounts from subsequent R&D result revenues attributable to the inventor (creator).

Article 8 (Cost Sharing for Patent Application, and Maintenance and Management of R&D Results)

For patent applications filed in accordance with the provisions in the first paragraph of the preceding article, the sharing of application and maintenance costs shall be undertaken in accordance with government laws, or the Regulations in the event that the cost sharing is not specified by government laws:

I. **For applications submitted before January 1, 2024:**

(I) The cost sharing for application and office action responses shall be handled in accordance with the Regulations passed on June 9, 2023.

(II) The cost sharing for certificate issuance and maintenance fees for the 1st to 3rd years (for U.S. cases, the 1st to 3.5th years) shall be as follows:

1. If the patent was granted before January 1, 2024, cost sharing shall be handled in accordance with the Regulations passed on June 9, 2023.
2. If the patent is granted after January 1, 2024, the **inventor (creator)** shall choose one of the following options:

   (1) Handle the cost sharing in accordance with the Regulations passed on June 9, 2023; or

   (2) Fill out the relevant forms in accordance with Appendix 1 and submit them to the Office of R&D; cost sharing will then be handled according to the submitted forms.

   (3) The cost sharing for maintenance fees from the 4th year onward (for U.S. cases, from the 3.5th year onward) shall be handled in accordance with Item 2(2) above, mutatis mutandis.

II. **For applications submitted on or after January 1, 2024,** the cost sharing for application, office action responses, certificate issuance, and maintenance shall be handled in accordance with Item 2(2) of Paragraph 1 above, mutatis mutandis.

III. **If the portion of patent application and maintenance fees indicated in Appendix 1 to be subsidized by the National Science and Technology Council (NSTC) is not actually granted,** the **inventor (creator)** shall be responsible for bearing that portion of the costs.

In the event where it is difficult to follow the provisions of the preceding paragraph of this article, such as disputes in patent application or maintenance, the inventor (creator) retiring or resigning or other special circumstances, the case shall be submitted to the IPR Review Committee for review and undertaken in accordance with the resolution of the Committee.

For a licensed patent, the percentage of maintenance costs borne by NCU and the inventor (creator) at the time of the technology transfer shall remain effective for subsequent maintenance and management until the licensing period expires. After the licensing period expires or is terminated, NCU and the inventor (creator) shall each bear the maintenance costs in accordance with the first paragraph.

The costs that the inventor (creator) shall bear as prescribed in paragraphs 1 and 3 of this article shall be paid from budgets of individual programs or personal funding. Alternatively, the costs can be shared between the inventor (creator) and the department, institute, college or research center by mutual agreement, where part of the revenue from technology transfer of the patent attributable to the inventor (creator) shall be paid to the department, institute, college or research center as rebates.

For application of patent subsidy for NSTC R&D results, if NCU pays for the application fees on behalf of the inventor, after the subsidy is remitted, the application fees shall be reimbursed.

Article 9 (Responsibility of Bearing Costs)

If the inventor (creator) fails to pay his or her percentage of patent fees in a timely manner, after the operational unit obtains approval, NCU shall deduct the amount from the balance of the inventor’s (creator’s) research budget or from the licensing revenue of the R&D results attributable to the inventor (creator) in accordance with Article 16 of the Regulations. The deficiency after deduction shall be supplemented by the inventor (creator) in cash.

If the inventor (creator) refuses to pay or delays payments for costs attributable to him or her, the Research and Development Office shall suspend the inventor’s (creator’s) new patent application. Any fees or service fees arising from the inventor’s (creator’s) ongoing patent application shall be collected from the inventor (creator) before the Research and Development Office proceeds with the subsequent procedures. If a patent application is not approved due to the inventor's (creator's) failure to pay the fees accordingly, NCU may demand compensation from the inventor (creator) based on the degree of damages suffered or benefits lost.

Article 10 (Maintenance, Management and Termination of Patent)

The maintenance of an approved patent lasts at least three years. However, NCU or the inventor (creator) may submit an application to the IPR Review Committee for early termination or extension.

After a certain period of promotion of the R&D results, once the granted patent rights have been maintained and managed for at least three years, RDO shall conduct periodic evaluations. If the evaluation indicates that the patent has no benefits in terms of licensing or technical services, RDO shall, after conducting an assessment regarding the potential assignment of the patent, publicly announce the details of the proposed assignment. If no request for assignment is made within three months following the announcement, the RDO may submit the case to the IPR Review Committee for deliberation on whether to terminate maintenance. For patents that require approval from the funding agency to terminate maintenance, the procedures prescribed by that agency shall apply.

In accordance with procedures of the relevant government laws, for application to the sponsoring institution for approval of assignment or termination of maintenance, if the sponsoring institution fails to review and approve the application prior to the above deadlines for payment and administrative work, the maintenance shall be continued and the costs shall be shared based on the percentages specified in Article 8, paragraph 1.

Article 11 (Inventory Mapping Mechanism for Value-Added Planning of R&D Results)

Depending on the expertise in existing and developing research fields, value-added planning of R&D results, and the needs of facilitating the patentability or commercialization of R&D results, NCU may allocate a certain amount of the annual budget and pronounce to request for submissions of industry-academia cooperation projects, or projects subsidized by NSTC or other governmental agencies. If the total amount of the project exceeds NT$5 million and the R&D results are to be owned by NCU, academic and research personnel, inventors (creators) or principal investigators may apply to the Research and Development Office for value-added planning of R&D results and patent map construction services. The applications shall be submitted to the IPR Review Committee for review and recommendation. NCU will pay for the expenses in full for the approved applications. However, the inventors (creators) are obligated to cooperate.

Article 12 (Intellectual Property Rights Protection and Confidentiality Clause)

In the event that NCU intellectual property rights are infringed, the Research and Development Office shall undertake and coordinate matters pertaining to the protection of rights, while the relevant units of NCU and the inventors (creators) shall cooperate.

NCU operational and management units of IPR technology transfer shall properly safeguard and ensure the confidentiality of an inventor's (creator's) unpublished R&D results or technology undergoing patent application, but is yet pronounced, or relevant documents pertaining to NCU technology transfer and contract information involving licensing conditions.

Article 13 (Inventors' [Creators'] Obligation of Cooperation)

For R&D results owned by NCU, inventors (creators) shall cooperate with the promotion, implementation and application with the Research and Development Office, as well as collaborating in NCU's exercising of relevant rights and performance of obligations in technology transfer contracts of the R&D results.

For patent application filed in accordance with the provisions of the Regulations, inventors (creators) shall cooperate with the Research and Development Office and complete the patent application documents. For matters related to patent application, such as the scope of rights, content and statement of defense, the inventors' (creators') intention shall be honored. However, if a matter is urgent and the inventors (creators) cannot express their intentions promptly, the Research and Development Office may undertake the matter in a manner that is most beneficial to the interests of NCU and the inventors (creators).

Inventors (creators) shall observe the obligation of illustrating the content of their invention in patent application, review, objection, appeal, and administrative and legal proceedings.

Inventors (creators) must not obtain R&D results or infringe rights of others via illegal means such as plagiarism.

In the event of a violation of this article leading to losses or damages to other parties or NCU, inventors (creators) shall not only return any benefit obtained pursuant to the Regulations, but also compensate NCU for any losses or damages suffered.

Article 14 (Principles of Transfer of R&D results)

NCU shall properly protect all R&D results owned, while seeking opportunities for technology transfer in a timely manner. Unless otherwise provided in the Regulations, technology transfer or licensing of R&D results of NCU shall be undertaken based on the following principles:

I. The technology transfer shall be undertaken in a fair, open and gratuitous manner. However, for academic research, educational or charity purposes, the results can be used in a non-gratuitous manner upon special approval.
II. Public schools, public research agencies (institutions), public businesses, domestic legal persons or groups shall be prioritized. However, foreign parties may also be allowed upon special approval in the event of any of the following circumstances:

(I) No domestic parties are willing to utilize the R&D results.
(II) No domestic parties are able to utilize the R&D results.
(III) The transfer does not affect the competitiveness of domestic companies or domestic technological development.
(IV) Transfer to the foreign licensee is more beneficial for the overall national development.

III. Licensing shall be conducted on a non-exclusive or exclusive basis in principle. However, assignment can be allowed upon on a case-by-case basis with special approval, when necessary.

In the event that the technology transfer of R&D results of NCU is licensed to parties or region located in Mainland China, Hong Kong or Macao, or to parties or regions pronounced by the government as potential threats to the competitive advantage of the industries of Taiwan, the inventors (creators) should submit documents such as technical documents of licensing and collaboration plans to the IPR Review Committee for review and approval, and then to the Investment Commission of the Ministry of Economic Affairs for approval before proceeding with the technology transfer.

The content of technology transfer contracts shall include the following:

I. Target and duration of the technology transfer.
II. Scope and region of the technology transfer.
III. Amount and payment method of the technology transfer.
IV. Rights and obligations.
V. Default clauses.
VI. Other information deemed necessary.

For R&D results of NCU that constitute computer program works, the inventors (creators) may license third parties to use them through open-source licensing. Unless otherwise approved by NCU, the scope of the open-source license shall comply with the following provisions:

I. The subject matter of the license shall be limited to copyright.
II. The license shall be granted free of charge.
III. The licensee may use the work only for non-profit purposes.

Article 15 (Procedures for Technology Transfer of R&D Results and Principle of Recusal Due to A Conflict of Interest)

To facilitate the promotion and industrial exploitation of R&D results of NCU, NCU may pronounce its promotable technological results on various types of media or technological matching platforms, organize technological outcome presentations, and participate in relevant matching activities or other promotional measures. Inventors (creators) shall cooperate in matters that require their assistance.

For the technology transfer of R&D results of NCU, inventors (creators) shall submit: (1) calculation chart of the licensing royalty of the R&D results, (2) corporate development plans (required only for technology transfers of substantial amount), and (3) recusal due to a conflict of interest for the technology transfer of R&D results and disclosure of information to the Research and Development Office for the review of the IPR Review Committee. The technology transfer shall be undertaken in accordance with the provisions in the preceding article. If a conflict of interest is involved, the application shall also be submitted to a review committee for conflict of interest.

After the R&D results have been promoted for a certain period of time and have been assessed by the Research and Development Office as lacking licensing possibility or technological service benefits, the patent or technological content, in which NCU is entitled to assign, can be assigned and pronounced for the purposes of public interest, facilitation of the overall industry development, or enhancement of exploitation benefits of the R&D results.

The pronouncement shall last for at least seven days. If a third party requests for an assignment, it may be undertaken after reviewed and approved by the IPR Review Committee, and obtaining special approval.

Official signing of contract should be undertaken as soon as the technology transfers that have been approved by the IPR Review Committee. For transfers that have been denied by the IPR Review Committee, re-negotiation and re-submission to the IPR Review Committee may be undertaken upon reaching a consensus for the matter in accordance with the procedures specified in the preceding paragraph.

If a conflict of interest exists between the inventors (creators) of the R&D results or their related parties and technology transfer licensee companies or their persons in charge, the matter shall be undertaken in accordance with NCU Guidelines for Handling Conflicts of Interest and Information Disclosure Regarding the Utilization of R&D Results.

In the event that NCU discovers any inventor (creator) performing unauthorized technology transfers, the inventor (creator) shall not only be submitted to the Faculty Review Committee for disciplinary actions, but may also face legal actions pursuant to the Teachers' Act and the Civil Code (tort).

Article 16 (Allocation of Revenue from Transfer of R&D results)

If the registration of R&D results in the information system of NSTC or in other systems as required by law should but has not been completed by the inventors (creators), the allocation of revenue from technology transfer of R&D results may be suspended until the registration is completed.

Revenue from technology transfer of R&D results shall be turned in to NCU in full. Unless a conflict of interest arises and the IPR Review Committee may modify of the allocation percentages by resolution, otherwise the allocation shall be undertaken in the following manner:

I. Monetary revenue:

(I) If the patent application and maintenance costs of the R&D results are handled in accordance with the **Regulations** passed on June 9, 2023, the allocation of revenues shall likewise be handled in accordance with the same **Regulations**.

(II) In cases other than those specified in the preceding subparagraph:

1. If the R&D result is **not a patent**, allocation shall be handled in accordance with **Appendix 1**.
2. If the R&D result **is a patent**, allocation shall be handled in accordance with the relevant forms completed by the **inventor (creator)** pursuant to **Paragraph 1, Article 8**.

II. For transfers of medicines, preparations, solutions, powders, materials or other similar tangible objects produced using R&D results of NCU, provisions in the preceding paragraph and Article 17 shall apply mutatis mutandis for the allocation and utilization of revenue.

III. Revenue obtained from equity or other methods shall be allocated as per the same percentages specified in the first paragraph. For the allocation of revenue obtained from equity, an agreement shall first be established with the licensee company to register all of the equity to each owner in the corresponding percentage, and the licensee company shall then deliver the equity to the owners. Revenue attributable to NCU shall be allocated to the department, institute, college or center after the disposal of the equity.

IV. If the R&D results of technology transfers include technologies and patents, the allocation percentages of revenue from the technology transfer shall be determined by the IPR Review Committee based on the nature of the transfer and the provisions in subparagraphs 1 to 3 of this paragraph.

V. If the inventors (creators) are engaged in situations specified in Article 9, paragraph 1, NCU may first deduct the equivalent amount from revenue from the technology transfer attributable to the inventors (creators).

For revenue earned by other methods that cannot be monetarily measured or divided, after deducting the rebate percentages to sponsoring institutions and the necessary costs, an appropriate reward shall also be given to the inventors (creators) and their departments, institutes, colleges or centers. The method of reward shall be determined by the IPR Review Committee on a case-by-case basis.

If an inventor (creator) in a technology transfer of R&D results is found by the Conflict of Interest in Technology Transfer of R&D Results Review Committee to have a conflict of interest, the revenue attributable to the inventor (creator) shall be remitted to the inventor’s (creator’s) account designated for specific royalty. The percentage may be determined by the IPR Review Committee. The account designated for specific royalty may not be used to pay the inventor’s (creator's) or a related party's human resource expenses. If the account is to be used to pay for procurement of a party to the conflict of interest, the party shall generally be an exclusive licensee or exclusive supplier, or that there are no other appropriate parties to replace the party to the conflict of interest. The inventor (creator) shall specify the reasons for the payments and obtain special approval via administrative procedures. Of which, the scope of related parties shall be defined by Item 3 of NCU Guidelines for Handling Conflicts of Interest and Information Disclosure Regarding the Utilization of R&D Results.

Revenues from the promotion of R&D results undertaken by inter-university collaboration or commissioned by academic and research institutions as specified in Article 19, shall be attributable to NCU following a deduction of the necessary costs in accordance with the preceding two paragraphs. Its allocation and utilization shall be undertaken based on Article 17, paragraph 1, subparagraph 1.

Revenues obtained from the licensing or assignment of copyrights owned by NCU, after deducting the payback amount required by the funding agency and necessary costs, shall be distributed as follows: 75% to the inventor (creator), 18.75% to NCU, 1.25% to the college, and 5% to the department (institute or college-level center).

The term "rebates to sponsoring institutions" in this article and Appendix 1 refers to the percentage of revenue from assignment or licensing of R&D results of NCU to be remitted to the sponsoring institutions as required by the Government Scientific and Technological Research and Development Results Ownership and Utilization Regulation or other relevant laws and regulations. If NCU obtains an exemption or concession for the rebates from the aforementioned governmental institutions, the matter shall be undertaken in accordance with the contents approved by the governmental institution.

The term "necessary costs" in Appendix 1 of this article refers to the costs needed for the application for patent, trademark, copyright or other intellectual property rights for the R&D results, maintenance or other necessary actions for the protection of rights, employer-contributed supplementary insurance premium, and taxes to be paid by NCU as required by the competent authority. However, the necessary costs are limited to 20% of the total revenue. If the revenue is paid to NCU in installments, the costs may be deducted at the corresponding percentage for each installment.

Article 17 (Management and Utilization of Revenue)

Revenue from technology transfer of R&D results, income from professional assessment and service fees that are attributable to NCU, departments, institutes, colleges and centers in the Regulations shall be managed in designated accounts and used for the following purposes:

I. Percentages allocated to NCU for management in accordance with the Regulations: 75% shall be allocated to the Research and Development Office for the management and promotion of R&D results, HR expenses, operating costs, overseas traveling expenses or equipment expenditure needed by the operation and management of IPR technology transfer units, and work compensation for well-performing personnel in undertaking matters related to technology transfer. The allocated budget may be reused. However, performance bonus for well-performing personnel in undertaking matters related to technology transfer shall be limited to 3% of the actual revenue of each technology transfer. Of which, from the revenue generated by R&D results subsidized by NSTC that is attributable to NCU, a certain percentage shall be allocated to the personnel who made contributions in the promotion efforts. The performance evaluation and compensation allocation standards shall be established separately by the Research and Development Office.

II. Revenue allocated to departments, institutes, colleges and centers: This shall be used for the management and promotion of R&D results, application and maintenance of IPR, HR expenses, operating costs, overseas traveling expenses or equipment expenditure needed for academic research, and scientific and technological R&D. Of which, for overseas traveling expenses, a report shall be submitted by the traveler to the Research and Development Office for future reference within three months upon returning from the trip. An allocated unit shall use the entirety of the budget allocated on or before June 30 of the current year before December 31 of the same year. Budget allocated on or after July 1 of the current year may be completely used before June 30 of the following year. After the utilization period expires, NCU shall collect the unused balance, which shall be allocated to NCU. However, if an allocated unit needs to extend the utilization period, it may do so by obtaining special approval.

Revenue allocated to inventors (creators) may be incorporated in their personal income or partially deposited in inventors' designated accounts for royalty for future reuse.

After an inventor (creator) resigns or retires, the balance of his or her designated accounts for royalty shall be incorporated into the university funds. However, if the inventor (creator) has other use of the revenue, he or she may do so by obtaining a special approval before resignation or retirement.

Article 18 (Allocation of Awards and Subsidies)

10% of awards and subsidies for outstanding technology transfer centers given by NSTC to NCU shall be allocated to the personnel of technology transfer operation and management units who have made contributions in technology transfer. In addition, a collaborative amount of no less than the amount designated by NSTC shall be allocated to pay for operations of the technology transfer units.

Awards and subsidies provided by governmental institutions for the technology licensing of specific R&D results of NCU shall be allocated in the following manner:

I. 50% shall be allocated to the inventor (creator) and teams that make contributions, and the inventor (creator) shall coordinate the allocation percentages. If the inventor (creator) has not designated a team that make the contributions, the award shall be attributed to the inventor (creator).

II. 40% shall be allocated to NCU.

III. 10% shall be allocated to the personnel of technology transfer operation and management units who make contributions. The Research and Development Office shall undertake the management and utilization of funds allocated.

Invention Patent Award granted by NSTC for approved patents shall be allocated in the following manners after disbursement of the award:

I. 80% shall be allocated to the inventor (creator), where the representative faculty member or the inventor (creator) shall compile a register for the collection.

II. 20% shall be allocated to NCU.

Awards or subsidies provided by NSTC or other governmental institutions for outstanding performance of technology transfer operational units, as well as NCU collaborative amount allocated in accordance with paragraph 1, awards or subsidies in paragraph 2 and the preceding paragraph that is to be attributed to NCU shall be managed under a separate designated account, which is used for reimbursing expenses arising from the management and promotion of R&D results, and operating costs or HR expenses related to the application and maintenance of IPR.

The approved exemption or concession in rebates to be paid to sponsoring institutions from the income from R&D results shall be allocated and managed in accordance with paragraph 2.

Article 19 (Promotion of R&D Results Commissioned by Other Parties or Outsourced by NCU)

The Research and Development Office may accept inter-university collaborations or commissions by academic and research institutions to assist in the promotion of R&D results of the commissioning unit. A service fee of 15% of the promotional revenue may be collected unless otherwise stated in an agreement between the commissioning party and NCU.

The RDO may commission external organizations to promote the NCU's R&D results. If NCU obtains technology transfer revenues through such external promotion, NCU may pay the related expenses to the commissioned organization.

Article 20 (The Principle of Law in Force)

When the Regulations are amended, the royalty, derivative benefits, service fees and government subsidies and awards that have been collected but not yet allocated or expired shall, unless otherwise provided in the Regulations, be managed and allocated in accordance with the provisions of the new Regulations.

Article 21 (Approval and Implementation)

The Regulations have been implemented with the approval of the Research and Development Meeting and the Academic Fund Management Committee. The same procedures shall apply to any subsequent amendments.

(Appendix 1) Table of Cost Sharing for Application and Maintenance of R&D Results and Allocation of Revenues

<table>
<tr><th rowspan="3">Option</th><th colspan="2" rowspan="3">Type</th><th colspan="7">Cost Sharing for Patent Application and Maintenance</th><th colspan="2">Allocation of Technology Transfer Revenues (Excluding VAT) [1]</th></tr>
<tr><th colspan="3">Application, Office Action, Certificate Issuance, and Maintenance costs for Years 1–3[3] (US: Years 1–3.5)</th><th colspan="3">Maintenance costs for Years 4–6 (US: Years 3.5–7.5)</th><th>From Year 7 Onward (US: From Year 7.5 Onward)</th><th rowspan="2">Inventor</th><th rowspan="2">NCU [2]</th></tr>
<tr><th>Inventor</th><th>NSTC</th><th>NCU</th><th>Inventor</th><th>NSTC</th><th>NCU</th><th>Inventor</th></tr>
<tr><td></td><td rowspan="2">Patent Resulting from NSTC Project</td><td>A 1</td><td>40%</td><td>50%</td><td>10%</td><td rowspan="2">40%</td><td rowspan="2">50%</td><td rowspan="2">10%</td><td rowspan="4">100%</td><td>70%</td><td>30%</td></tr>
<tr><td></td><td>A 2[4]</td><td>70%</td><td>20%</td><td>10%</td><td>75%</td><td>25%</td></tr>
<tr><td></td><td rowspan="2">Patent Not Resulting from NSTC Project</td><td>B 1</td><td>50%</td><td>-</td><td>50%</td><td>80%</td><td>-</td><td>20%</td><td>70%</td><td>30%</td></tr>
<tr><td></td><td>B 2[4]</td><td>100%</td><td>-</td><td>0%</td><td>100%</td><td>-</td><td>0%</td><td>75%</td><td>25%</td></tr>
<tr><td colspan="2">Know-how</td><td colspan="8">-</td><td>75%</td><td>25%</td></tr>
</table>

[1]**Allocation of Technology Transfer Revenues**

1. **Patents Resulting from NSTC Projects:**
   Revenues shall first be allocated between the inventor and the university. The portion allocated to the university shall then be redistributed internally after deducting the following:
   - any payback amount required by the funding agency,
   - employer-contributed supplementary insurance fees, and
   - taxes payable by the university in accordance with competent authority regulations.
2. **Patents Not Resulting from NSTC Projects and Know-how:**
   Revenues shall be allocated between the inventor and the university **after** deducting the payback amount required by the funding agency and other necessary expenses.

[2]**Internal Allocation within the University**

1. **For R&D results generated by departments, graduate institutes, colleges, or college-level centers:**
   The university's share shall be further distributed as follows: University: 75%, College: 5%, Department / Graduate Institute / College-level Center: 20%
2. **For R&D results generated by university-level centers:**
   The university's share shall be further distributed as follows: University: 80%, University-level Center: 20%

[3] For each patent application case, the university and the NSTC shall share the costs arising from official examination procedures up to a maximum of three times, in accordance with the aforementioned cost-sharing ratios.

[4] Only inventors who select Option A2 or B2 may designate a patent firm outside the list of firms contracted by the university to handle the patent application.