

Regulations for Governing the Management of Research and Development

Results Data Files

Approved by the 2nd Administrative Meeting on September 16, 2015, fall semester of Academic Year 2015

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- Article 1 This regulations is established to protect and properly manage and use National Sun Yat-sen University (hereinafter referred to as NSYSU) research and development results and carry out confidential operation procedures for confidential data files.
- Article 2 The research and development results data file referred to in this regulations refers to the physical files that store and record data that are related to research and development results.
- Article 3 The inventor or creator (hereinafter collectively referred to as the inventor) is required to fill out appropriate forms such as the "National Sun Yat-sen University research and development results checklist" or "Patent application form for National Sun Yat-sen University research and development results" for research and development results that are legally or contractually owned by the NSYSU. The inventor should also provide materials related to the research and development or creation. If the research and development results are the result of a project, the creator should provide the approved checklist for the project, subsidy (or commission) contracts, etc. They should be submitted to the Office of Global Industry-Academe Collaboration and Advancement Innovation Intellectual Property Division.
- Article 4 Research and development results data files include forms to be filled by inventors, such as "National Sun Yat-sen University research and development results checklist" or "Patent application form for National Sun Yat-sen University research and development results", notes about creations, research logs or related data on R&D or creation, subsequent technology transfer contracts, and licensing fee allocation data, etc. The research and development results data files should be kept in physical forms, stored in a dedicated area, and locked up for permanent storage.
- Article 5 Except for the information that the chief of the Innovation Intellectual Property Division has reviewed and determined as not confidential that can be made public to solicit technology transfers, all data files related to research and development results are classified as confidential and may not be revealed to the outside. However, information subsequently approved by competent authority as public is not subject to this restriction.
- Article 6 Information related to research and development results shall not be accessed by people other than the concerned case workers at the Innovation Intellectual Property Division and the supervisor who must know for business reasons, and the inventor can access only

the related information of his own research and development results. The case worker, supervisor, and creator who can access the confidential information on research and development results also have the obligation to keep it secret.

Article 7 If a company wishing to pursue technology transfers or other persons with justified reasons request to examine confidential information on research and development results, the inventor and chief of the Innovation Intellectual Property Division must assess the necessity of disclosure and require the company or other examiners to sign a confidentiality agreement or affidavit before they can be accompanied by the case worker at the Innovation Intellectual Property Division to examine the information. A detailed record should be kept about the who, when, where, and method of the information viewing.

Article 8 Regarding the information related to research and development results of the NSYSU that has remained undisclosed, the inventor, a company wishing to pursue technology transfers, or other interested parties may, assert that the circumstances have changed and there is no longer a need to keep confidential information on research and development results from the public and apply to the Innovation Intellectual Property Division to declassify such information. Innovation Intellectual Property Division shall forward the request to the Technical Review Committee for a resolution. If the committee has approved the request, the Innovation Intellectual Property Division shall make the declassified portion public.

Article 9 Matters not covered in this regulations should be handled in accordance with relevant laws and regulations.

Article 10 This regulations was adopted at Administrative Meeting and submitted to the president for approval and implementation. Revisions shall follow the same procedure.