

Guidelines on governing the conflicts of interest avoidance and information disclosure in Research and Development Results

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- I. For the NSYSU to handle conflicts of interest avoidance and information disclosure incidents for industry-academe collaboration projects and the use of research and development results (including technology pricing), this regulation is set up in accordance with the "Fundamental Science and Technology Act", "Government Scientific and Technological Research and Development Results Ownership and Utilization Regulation", "Ministry of Economic Affairs Scientific and Technological Research and Development Results Ownership and Utilization Regulation", "Ministry of Science and Technology Scientific and Technological Research and Development Results Ownership and Utilization Regulation", "Ministry of Education Scientific and Technological Research and Development Results Ownership and Utilization Regulation", "Council of Agriculture, Executive Yuan Scientific and Technological Research and Development Results Ownership and Utilization Regulation", "Implementation Measures for Industry-Academe Collaboration in Colleges", "Regulation governing the management of National Sun Yat-sen University R&D results and technology transfers", and "Operational regulation governing non-Ministry of Science and Technology industry-academe collaboration projects".
- II. The NSYSU Office of Global Industry-Academe Collaboration and Advancement (hereinafter referred to as OGIACA), the organizational unit responsible for this matter, is responsible for setting up the management mechanism, advocating, and accepting cases concerning information disclosure. The Technical Review Committee is in charge of processing and evaluating the cases and submitting its decisions to the NSYSU for approval and execution. If a member on the committee is the subject of the information disclosure, that member should recuse him-/herself from the case.
- III. The industry-academe collaboration institutions and institutions that undertake NSYSU research and development results (hereinafter referred to as the undertaking

institutions) referred to in this regulation include government agencies, for-profit enterprises, non-governmental organizations, and academic research institutions.

IV. The property interests referred to in this regulation are as follows.

1. Movable property, real property;
2. Cash, deposits, foreign currencies, and marketable securities;
3. Creditor's rights or other property rights, and
4. Other benefits that have economic values or can be obtained through monetary transactions.

V. The interested leaders of industry-academe collaboration plans or creators of research and development results (hereinafter referred to as creators) may participate in the content discussions about industry-academe collaboration plan execution and the promotion and negotiations of research and development results, but they should recuse themselves from the assessments and approvals of industry-academe collaboration plan contracts or the management or utilization of research and development results.

VI. The project leader and creator should fill out the "industry-academe collaboration plan and research and development results application benefit information disclosure form" when executing business matters about the research and development results and disclose whether they have the following interest relationships with the industry-academe collaboration institutions or the undertaking organizations. The same applies as well to agreements obtained after undertaking the research and development results:

1. The principals and their spouse and minor children received a total of more than NT\$150,000 in property interest from that for-profit enterprise within the previous year, or they held more than 5% of the equity in the for-profit enterprise.
2. The principals, their spouse, children, parents, grandparents, grandchildren, or siblings serve as the person in charge, director, supervisor, or manager of the for-profit business.

VII. Those who handle, review, or approve cases of industry-academe collaboration plan contracts or the management or use of research and development results and those who have the following interests with the industry-academe collaboration organizations or the undertaking organizations should recuse themselves from the cases:

1. The principals and their spouse and minor children received a total of more than NT\$150,000 in property interest from that for-profit enterprise within the previous year, or they held more than 5% of the equity in the for-profit enterprise.
2. The principals, their spouse, children, parents, grandparents, grandchildren, or siblings serve as the person in charge, director, supervisor, or manager of the for-profit business.

VIII. When the NSYSU learns that the project leader, creator or those who handle, review, or approve cases of industry-academe collaboration plan contracts or the management or use of research and development results have not recused themselves when they should have, the NSYSU should order them to recuse themselves from the cases.

If there are people who should recuse themselves but have not done so, the interested person may apply to OGIACA for their recusal.

IX. When there are arguments or doubts about whether there is a need for the disclosure of information or the recusal of personnel, the Technical Review Committee, after providing an opportunity for the concerned parties to present their argument, shall review the case and the results of the review shall be reported to the president for approval.

X. For people who are required to declare their properties in accordance with Article 2 of the Act on Property-Declaration by Public Servants, their recusal from conflicts of interest shall comply with the Act on Recusal of Public Servants Due to Conflicts of Interest.

XI. The "industry-academe collaboration plan and research and development results application of interest information disclosure form" and other necessary information filled by the project leader and creator shall be managed by OGIACA in accordance

with the Personal Information Protection Act, Trade Secrets Act, and other relevant laws and regulations.

- XII. The project leader and creator should ensure the completeness and accuracy of the information disclosed. If there is any hidden or false information, the project leader and creator should bear all administrative responsibilities. Additionally, when a new conflict of interest situation arises, the plan leader and creator should immediately re-disclose.
- XIII. The NSYSU should conduct at least one educational training session per year on interest information disclosure to train NSYSU faculty and staff to understand how interest information disclosure should be handled.
- XIV. To report conflicts of interest, the informant should use his or her real name and attach evidence and submit it to OGIACA in writing. It will not be accepted if it is made under a pseudonym, anonymously, or without specific evidence.
- XV. Upon receipt of a report of conflicts of interest, the OGIACA should quickly process it and submit it to the president for approval; then it should state the reason and evidence in writing and send it to the Technical Review Committee for processing.
- XVI. For conflicts of interest incidents that violate this regulation, the Technical Review Committee may appoint three to five scholars, experts, or legal professionals who are well versed in the academic field of the dispute to form an investigation team to investigate. Members of the investigation team who are concerned parties of the alleged conflicts of interest shall recuse themselves.
- XVII. The investigation team may take the following actions to investigate the facts and evidence:
1. Request the person who is being accused to provide necessary information, articles, or written defense.
 2. The organizational unit of which the accused is a part shall assist in the investigation.

3. Notify the accused, interested persons, or such other persons who may facilitate the investigation to be present and present their opinions.

XVIII. The investigation team should complete the investigation report within three months of its formation, and may be extended for one month if necessary. In principle, the investigation report will not be made public and will be submitted to the Technical Review Committee for its confidential review. The investigation report in the preceding paragraph shall record facts and evidence, reasons, and findings.

XIX. After the incident is investigated, if no violation of conflicts of interest is found, the Technical Review Committee will review, confirm, and report the case to the president for approval, and it will notify the informant, the accused, and, if necessary, the interested parties. If the investigation has found that there is a risk of conflict of interest violation, the investigation report shall be sent to the accused and notify the accused to state their argument, which together with the facts, evidence, and results shall be reviewed, and the decision and reasons are to be recorded in the meeting minutes.

XX. If the Technical Review Committee considers and confirms that the accused has violated the conflicts of interest regulation, it should, based on the resolution, state the facts about the violation of the conflicts of interest regulation, evidence, statement, a summary of the accused's defense, make specific recommendations for how to properly handle the case, and submit the case to the president for approval. After the approval has been obtained, it shall be served to the informant, the accused, the accused's department, and the funding agency of the research and development results.

XXI. The parties who did not recuse themselves when they should have, members of the Technical Review Committee, and members of the investigation team shall bear all administrative, civil, and criminal responsibilities arising therefrom.

XXII. The OGIACA should regularly aggregate the interest information related to the NSYSU's use of industry-academe collaboration plans and research and development results and announce the information to the public.

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