

Yuan Ze University Regulations on the Avoidance of Conflicts of Interest and Disclosure of Information in the Utilization of Research and Development Results

Apr 17, 2014 Adopted at the 19th Administrative Council Meeting, Academic Year 2013
Nov 7, 2017 Revised and adopted at the 7th Administrative Council Meeting, Academic Year 2017

Article 1 **Purpose**

These Regulations are established to set standards for the avoidance of conflicts of interest and the disclosure of information at Yuan Ze University, and to prevent improper transfer of benefits. They are formulated in accordance with the *Regulations on the Attribution and Utilization of Research and Development Results* issued by the Executive Yuan, the *Regulations on the Attribution and Utilization of Research and Development Results* issued by the Ministry of Economic Affairs, and the *Regulations for Industry-Academia Collaboration for Institutions of Higher Education* issued by the Ministry of Education.

Article 2 **Responsible Units**

The Office of Research and Development (hereinafter referred to as the R&D Office) of Yuan Ze University shall establish management mechanisms and standards in accordance with these Regulations. The University's R&D Results Evaluation Committee shall be responsible for handling the disclosure of information related to conflicts of interest.

Article 3 **Definition of Parties Involved**

The term "party involved" in these Regulations refers to the creators of research and development (R&D) results at Yuan Ze University.

Article 4 **Definition of Conflict of Interest**

A "conflict of interest" under these Regulations refers to situations in which the University transfers its R&D results through exclusive licensing, assignment, or trust to individuals, businesses, or enterprises in a manner that directly or indirectly provides benefits to the party involved or their related persons. Such situations include:

- I. The spouse or relatives within the second degree of kinship of the party involved.
- II. Businesses solely owned or jointly operated by the party involved or by

individuals listed in the preceding item.

III. Enterprises in which the party involved or the individuals listed in Item 1 serve as directors, supervisors, or managers. However, this does not apply if such directors, supervisors, or managers are appointed by the government or the University.

Article 5 **Disclosure and Recusal**

When performing duties related to the utilization of R&D results, the party involved shall disclose any conflicts of interest as defined in Article 4. If a conflict of interest exists, the party involved shall recuse themselves and shall not participate in negotiations related to the utilization of the R&D results. Parties who fail to recuse themselves when required shall bear any resulting civil, criminal, and administrative liabilities.

Article 6 **Use and Protection of Personal Data**

Personal data disclosed by the party involved in accordance with these Regulations shall be used solely for the purposes of implementing these Regulations and shall be protected in accordance with the Personal Data Protection Act.

Article 7 **Internal Control**

All matters related to the avoidance of conflicts of interest and the disclosure of information under these Regulations shall be governed and monitored in accordance with Chapter 3 of the University's Internal Control Implementation Regulations.

Article 8 **Training and Awareness**

The competent authority shall plan appropriate training programs to enhance staff awareness and understanding of conflict-of-interest avoidance and information disclosure requirements.

Article 9 **Appeals Regarding Conflict of Interest Decisions**

If a party involved believes that a decision of the R&D Results Evaluation Committee regarding the existence of a conflict of interest is illegal or improper, resulting in damage to the rights or interests of the party involved or related persons, they may request a reconsideration by the R&D Results Evaluation Committee. If the party is still dissatisfied with the reconsideration, they may submit an appeal in accordance with the *Regulations on the Organization and Deliberation Procedures of the Yuan Ze University Faculty Appeal Committee*.

Article 10 **Liability for Violations**

Parties involved, related persons, and personnel executing relevant duties who violate these Regulations shall, in addition to appropriate disciplinary action or measures under the University's personnel regulations, bear civil and criminal liability in accordance with the law.

Article 11 **Investigation and Reporting**

The R&D Office may review research results generated using University resources. In cases of significant severity, or if the R&D Results Evaluation Committee determines that a conflict of interest exists in violation of these Regulations, the R&D Office shall internally report to the University President. Following established procedures, the investigation results and handling measures shall be reported to the relevant competent authorities and funding agencies to ensure the protection of all parties' rights and interests.

Article 12 Any matters not addressed in these Regulations shall be handled in accordance with relevant government laws and regulations.

Article 13 These Regulations, as well as all subsequent revisions therewith, shall be duly adopted by the Administrative Council prior to implementation.

The English translation is for reference only. In case of any discrepancy between Chinese and English versions, the Chinese version shall prevail.