# National Sun Yat-sen University
## Guidelines on Granting Support for Key Academic Research

I. These guidelines are formulated to specify and encourage outstanding academic research and integration of academic resources, and to encourage faculties of the University to try to obtain subsidies from off-campus, including from the National Science and Technology Council (NSTC), other government agencies, business institutions, and non-governmental organizations and academic research institutes for collaborations of industry-academe or technology transfer projects.

II. The funding for these guidelines comes from the University's overall management fees.

III. Subsidized Items

(i) The subsidized items are mainly for equipment and shared resources. New faculties and externally entrusted or subsidized industry-academia cooperation projects or technology transfer projects implemented by the University are limited to the operating expenses required by the projects.

(ii) The subsidized items to be applied for should already have off-campus subsidy funds first. The University subsidies are mostly to help cover leftover expenses. Except for the operating expenses of the off-campus grants for new faculties and industry-academia cooperation projects that can be implemented as current expenditures, the others are all capital expenditures. (The operating expenses are required to be based on the regulations set by the Ministry of Education grants and commissioned program funds compilation benchmark table, and grants shall not be used for personnel costs, work costs, or administrative management fees.)

(iii) Shared resources include language, audio-visual, laboratory classrooms (personal computers such as desktops, tablets, or notebooks will not be subsidized in principle, and they must not be registered as individual property), and other necessary databases and rare files. The subsidies provided for sharing within a college are given a higher priority than those for sharing within a specific department (the details of the meeting of the college or department must be attached). Purchasing or building a database can also be applied.

(iv) Those who apply for a subsidy for a single item of equipment exceeding NT$1.5 million must agree that the equipment will be included in the University's "Joint Center for High-Value

Instruments", so as to support the University's sharing of valuable equipment resources and enhancing the high valued instrument's benefit.

(v) Transactional equipment, computer consumables, comfort/convenience equipment, or services during the research should be supported by department or college grants, for the aforementioned items do not conform to the spirit of the guidelines for subsidized key academic research and thus cannot be supported by the University's grants.

IV. Definition of self-financing resources

  (i) Self-raised funds by faculties: including the balance of the individual projects and the approved grants for the purchase of equipment (for example, the equipment expense from the NSTC's projects and the cooperative education plan, etc.). Grants from departments, institutes, colleges and other units are not included.

 (ii) Department/institute and college subsidies: refers to the matching funds given from the department/institute or college for the subsidy item to be applied.

(iii) Subsidy from other units: refers to the subsidies from off-campus or non-faculty-affiliated departments or colleges (please indicate the source and supporting documents).

V.  Application categories and other relevant regulations

**[New Faculties]**

New faculties are those who have passed the appointment process of their department (institute) and the college's review committee and have the relevant supporting funds such as graphic and equipment fees or resources provided by the department (institute) or the college. Additionally, they must have completed their first application from the date of employment to the deadline for the second application of the University in the following year. New faculties may purchase equipment and related consumables required for research.

New faculties can apply for the subsidies in two phases:

(i) Phase 1: submit the application with the application form, full proposal and the required materials for review.

    1. If the faculty applying does not have self-raised funds and matching funds from the department (institute) or college, please submit an application form, a proposal, or a funding table for the capital expenditure and current expenditure of the project that has not been granted by the NSTC (the project application must be attached) to apply.

    2. After being approved by the review meeting, the subsidy will be allocated according to the amount required for the proposed project plan and the budget prepared for the current year. The maximum subsidy for each applicant faculty is 100,000NTD (including capital and current expenditure).

    3. If the faculty has self-raised funds or funds from the department (institute) or college that have been approved, and the total amount exceeds the maximum limit of the above-mentioned subsidy amount in Item 2, the restriction from Item 2 will thus be canceled, and the maximum amount of subsidy shall not exceed the total amount of grants from the department (institute) or college and self-raised funds.

(ii) Phase 2: Within one year after the approval of the NSTC project, the application form, the approved funds for the project, and the approval list from the first phase must be attached together and submitted during the application period.

   1. After deducting the subsidy received in the first phase, the maximum amount of the subsidy shall not exceed the total amount of the subsidy from department/college and self-raised funds.
   2. If the project is not approved, the second phase cannot be applied for, and the first phase subsidy does not need to be returned.

(iii) Those who receive the subsidy should submit their achievement performance and self-assessment report within three months after the implementation. The reports will be examined. If the reports are not submitted, future applications will not be accepted.

**[Excellent Research Faculties]**

Excellent Research Faculties must meet one of the following conditions:

(i) Served as the main author of at least two academic papers published within the last three years; with the number of publications being higher than the three-year average of the department or institute. Fields of Sciences, Engineering, Marine Sciences and related fields are subject to the top-ranked SCI papers. Fields of Literature, Management, Social Sciences and related fields are subject to important papers or books in their respective fields.

(ii) Those who have won important academic research awards inside and outside the University within the last three years.

When applying, a project plan must be submitted. Excellent research faculties must have external funding sources for use before submitting the application.

Those who receive the subsidy should submit their achievement performance and self-assessment report within three months after the implementation. The reports will be examined. If the reports are not submitted, future applications will not be accepted.

The maximum amount of the University's subsidy for excellent research faculties shall not exceed one-third of the self-raised funds.

**[Valuable Instruments of NSTC or the Inter-department/institute Shared Resources]**

Project plan must be submitted when submitting the application. An application of subsidization for valuable instruments (the University's Joint Center for High Valued Instruments Service Plan approved by the NSTC) must include the approved list of items subsidized by the NSTC.

If subsidy is granted, the item should be listed in the University's laboratories for high valued instruments of shared resources, and be made available for common use within the University.

The maximum amount of the subsidy from the University shall not exceed three times the total amount of the subsidy from the college and department (institute).

**[Large-scale Integrated Research Project and Industry-academia Cooperation Projects]**

The total cost of equipment for a large-scale integrated research project (limited to the main project implemented within the University) must exceed 2 million NTD. The principal investigator of the project must be a full-time faculty at the University, and the application should be sent out from the principal investigator. When applying, it is necessary to submit a project plan which includes an

approved list of off-campus grants. The amount of the University's subsidy shall not exceed either [three times the total subsidy of the college and department (institute)], or [25% of the self-raised funds from external sources], which either is larger.

The Industry-academia Collaboration Projects shall be limited to that commissioned or subsidized by external entities which clearly states that the University needs to provide the matching funds (self-raised funds), or limited to those which will help expand the industry-academia collaboration projects or effectiveness of technology transfer cases, as stated by the principal investigator. The project's principal investigator must submit an application for the project, and be a full-time faculty, researcher, staff member, or a project investigator who is approved on a case-by-case basis. The application should include a project plan, a copy of the Industry-academia Collaboration/Technology Transfer contract, a letter of intent for collaboration (copy of the memorandum), a list of approved program funds, or other relevant documents. The University subsidy shall be reviewed according to the following principles:

(i) The Industry-academia Collaboration Projects either through external entrustment or subsidy units:

The grant shall be either [25% of the total amount provided by the University's industry-academia cooperation project], or [two-thirds of the University's cooperation fund (self-raised) as mentioned in the industry-academia cooperation project], whichever is the lesser value.

(ii) Technology transfer: Either 5-10% of the total amount of the technology transfer, or otherwise needs to be approved according to the needs of individual cases.

As reported by the Office of Global Industry-Academe Collaboration and Advancement of the University, if the subsidized industry-academia cooperation project funds are deducted by external entrustment or subsidy units, the University subsidy received in accordance with this key point will also be deducted proportionally. If the actual verified University grants exceeds the approved amount, they shall be returned.

Those who receive the subsidy should submit their achievement performance and self-assessment report within three months after the implementation. The reports will be examined. If the reports are not submitted, future applications will not be accepted.

**[Campus Featured Research Group Project]**

Departments(institutes), Colleges and Research Centers that have been evaluated as excellent units or research groups with national competitiveness can propose Featured Research Project Subsidies. The project should involve at least three faculty members from our University who collaborate on the same research topic through division of labor. A project proposal and a usage plan must be submitted with the application, and specific items that have national competitiveness should be explained. Multi-year applications are encouraged, and the funding source for the establishment of the features supported by the department or college must be indicated in the application.

The maximum amount of the University subsidy for the Featured Research Project shall not exceed three times the total amount of the subsidy granted by the college and department (institute), and the multi-year project may be pre-audited.

If the application for the subsidy exceeds 1 million NTD, external review results from off-campus will be required as a reference for the subsidy.

Those who receive subsidies must submit their achievement and self-evaluation reports for review within three months after the completion of the project in the same year. Failure to submit such reports will result in their future applications being rejected. If a multi-year project fails to submit its report at the end of the year, its funding for the following year will not be granted, and its future applications will not be accepted.

VI. The principle of the Guidelines is to be carried out twice a year, with the deadline for submission being the first week of each semester.
Each applicant (case) shall follow the principle of applying (for subsidies) once within a year. Applicants (cases) who have been granted subsidies will not be subsidized for the same type of application in the following year. The Industry-academia cooperation projects are exempt from this restriction. For inter-department/institute shared resource projects in the Colleges of Humanities, Social Sciences, and Management, the principle is to apply once a year for the same type of application, and they are not subject to the restriction of not being subsidized for the same type of application in the following year.

VII.  Notes on Procurement:
The use of funds must comply with the University's accounting procedures; all operations must not conflict with relevant laws and regulations such as accounting budgets and audits.
Grants (including loans) from departments/colleges and other units, along with self-raised funds should be given priority in use (and they all should be funds that have not yet been disbursed). The University subsidies are the second priority. The surplus funds from reimbursements will be reclaimed by the University and used for overall planning. If there are other regulations from off-campus subsidy units, their regulations will be followed.
For procurement (spent) subsidies, the principle is to make one procurement at a time, but for industry-academia cooperation projects, procurement can be made quarterly. If it is necessary to divide the procurement into multiple cases, the procurement should still be submitted at the same time, and the Office of General Affairs will decide whether to merge the cases for procurement, with the involvement of the Office of R&D.
Procurement operations should be carried out based on the information provided at the time of application (such as procurement items and funding sources).

VIII. The application should be reviewed by a review committee. The committee members are composed of the Senior Vice President, the Vice President of R&D Office, the Vice President of Academic Affairs Office, the Vice President of Global Industry-Academe Collaboration and Advancement Office, several Chair Professors and senior distinguished research professors appointed by the President. The Senior Vice President serves as the convener of the committee, and the Office of R&D is responsible for administrative affairs.

IX.  These Guidelines will be implemented after being approved by the Administrative Meeting, and the same applies to amendments.