

國立中山大學研發成果資料檔案管理要點

Guidelines on the Document Management of Research and Development Achievements

104.09.16 本校 104 學年度第 1 學期第 2 次行政會議通過

109.03.04 本校 108 學年度第 2 學期第 2 次行政會議修正通過

111.10.05 本校 111 學年度第 1 學期第 3 次行政會議修正通過

Amended and approved at the 3rd Executive Meeting on October 5, 2022

一、為保護並妥善管理、運用國立中山大學(以下簡稱本校)研發成果，並對於機密性資料檔案進行保密作業程序，特訂定本要點。

I. These guidelines are formulated to protect, manage, and utilize the University's research and development (R&D) achievements and to implement proper procedures for confidential documentation.

二、本要點所稱之研發成果資料檔案，係指儲存及記載研發成果相關資料之實體文件檔案。

II. Documentation of R&D achievements herein refers to various physical documents that store and record relevant R&D information.

三、發明人或創作人(以下合稱發明人)就依法規或合約屬本校所有之研發成果應填寫「國立中山大學研究發展成果檢核表」或「國立中山大學研究成果專利申請表」等表格，並提供研發或創作相關資料；如研發成果為計畫成果，並應提供計畫核定清單或補助(或委託)合約書等資料，送至全球產學營運及推廣處智財新創組。

III. Inventors shall complete the *Form for Reviewing R&D Achievements* or *Application Form for Patenting R&D Achievements* in accordance with regulations or contractual agreements with the University, and provide relevant information on R&D achievements. If R&D achievements are project results, the project approval lists or subsidy (or commission) contracts shall also be submitted to the Innovation Intellectual Property Division (IIPD) of the Office of Global Industry-Academe Collaboration and Advancement (OGIACA).

四、研發成果資料檔案包含「國立中山大學研究發展成果檢核表」或「國立中山大學研究成果專利申請表」等發明人填具之表格、研發成果或創作內容說明書、研究記錄簿或相關研發或創作資料，以及嗣後進行技術移轉之合約及授權金分配資料等。研發成果資料檔案應以實體書卷建檔管理，並設立專區存放及上鎖妥適永久保存。

IV. The documentation herein shall include various forms completed by the inventor, such as the *Form for Reviewing R&D Achievements* or *Application Form for*

Patenting R&D Achievements, descriptions of R&D achievements, research logs, and other relevant information, as well as subsequent technology transfer contracts and documents on the allocation of licensing fees. The documentation shall be kept in physical form at a dedicated and secured area for permanent storage.

- 五、研發成果資料檔案除經智財新創組組長審核確認屬不涉及機密之可公開徵求技術移轉部分外，均列為機密，不得對外揭露內容。但嗣後經主管機關核可公開之訊息相關部分不在此限。
- V. The documentation herein shall all be kept confidential unless relevant information does not involve confidentiality and may be disclosed for technology transfer, subject to approval from the director of the IIPD. Nevertheless, the restrictions may be lifted if the competent authority later approves its disclosure.
- 六、研發成果資料檔案除智財新創組承辦人及業務上必須知悉之主管外，不得由他人查閱，發明人亦只能查閱自己之研發成果資料檔案。前項研發成果機密資料檔案，發明人及承辦人員與主管等亦負有保密之義務。
- VI. Documentation shall not be accessed by individuals other than the staff in charge at the IIPD and other involved supervisors. Inventors may only access their own documentation. Additionally, inventors, staff in charge, and involved supervisors shall be obliged to maintain the confidentiality of the documentation as stipulated in Article 5.
- 七、欲進行技術移轉之廠商或其他具正當理由之人士請求查閱研發成果機密資料檔案，需由發明人及智財新創組組長評估確有揭露之必要性，並應要求廠商或其他查閱人簽署保密合約或切結書，始得於智財新創組承辦人員陪同下查閱其內容。查閱人及查閱時間、地點、方式並應確實記錄。
- VII. Companies interested in technology transfer or individuals with justifiable reasons may request an approval to review the confidential R&D documentation, following an assessment of necessity by both the project principal investigator and the director of the IIPD. The said companies or individuals may only review the documentation in the presence of the authorized personnel after signing a confidentiality contract or an affidavit. The information about the review time, location, way of access, and name of the viewer shall be properly documented.
- 八、發明人、欲進行技術移轉之廠商或其他利害關係人，得以情事變更已無限制研發成果機密資料檔案公開之必要為由，向智財新創組申請研發成果機密資料檔案之解密，由智財新創組送請技術審查委員會決議之。經決議應予解密者，智財新創組應將該解密部分公開。

VIII. Inventors, companies seeking to conduct technology transfers, or other interested parties may apply for disclosing confidential documentation, provided that the circumstances change and there is no longer a necessity of confidentiality. The IIPD shall forward the request to the Technology Review Committee for deliberation and disclose the documentation accordingly upon resolution.

九、本要點其他未盡事宜，悉依相關法令規定辦理。

IX. Matters not covered herein shall be handled in accordance with relevant laws and regulations.

十、本要點經行政會議通過，陳請校長核定後實施，修正時亦同。

X. These guidelines are approved by the Executive Meeting and the President before implementation. Amendments to these guidelines shall follow the same procedure.