

Research Administration Regulations

Established Oct. 21, 1991	Amended Mar. 18, 2004	Amended Apr. 27, 2016
Amended May 18, 1992	Amended May 9, 2008	
Amended Mar. 1, 1997	Amended Mar. 1, 2009	
Amended Jun. 1, 2001	Amended Mar. 1, 2012	
Amended Oct. 1, 2002	Amended May 8, 2012	
Amended Aug. 1, 2003	Amended Mar. 22, 2013	

Chapter 1 General Provisions

Article 1 (Purpose) These regulations set forth matters necessary for carrying out research administration functions of Pohang University of Science and Technology (hereinafter referred to as “University”) to ensure smooth and efficient performance of research administration functions.

Article 2 (Application Scope) These regulations shall apply to all research administration functions performed by the faculty and staff members (including research staff) of the University.

Article 3 (Definitions) The terms used in these regulations shall be defined as follows:

1. An "intramural research project" shall refer to any research project conducted with a research grant from the University.
2. A "sponsored research project" shall refer to any research project sponsored by an external agency (hence excluding intramural research projects); further classification of sponsored research projects shall be provided separately.
3. "Research administration" shall refer to general administration tasks pertaining to research, including those concerning intellectual property rights and technology transfer arising as a result of conducting research, and purchasing and asset management, inspection, finance and accounting, and audit. (Amended April 27, 2016)
4. (Deleted March 1, 2009)
5. (Deleted March 1, 2009)
6. (Deleted March 1, 2009)
7. (Deleted March 1, 2009)
8. (Deleted March 1, 2009)
9. (Deleted March 1, 2009)
10. (Deleted March 1, 2009)
11. (Deleted March 1, 2009)
12. A "funding agency" shall refer to any agency that provides research fund as a contractual counterpart of the University. (Established March 1, 2009)
13. A "research fund managing unit" shall refer to an affiliated research center or a relevant department of the University which manages research funds as delegated by the President of the University. (Established March 1, 2009)
14. An “internally-run project” shall refer to a project generated from an intramural or sponsored research project since its purpose has been recognized as legitimate.

Article 4 (Administration Responsibilities) As a rule, Office of Research and Industry Affairs and Office of Industry-Academic Affairs of POSTECH Research and Business Development Foundation (“the unit in charge of overall management of research support”), and operation support teams shall be in charge of matters concerning research planning, external affairs, research contracts, billing management, utilization of research results, purchasing and asset management, inspection, finance and accounting, and audit, etc. In principle, each academic unit (“basic unit for research support”), shall be in charge of matters concerning the

administration of research fund, etc. Detailed matters shall be stipulated separately. (Amended March 1, 2009) (Amended April 27, 2016)

Chapter 2 General Research Administration

Article 5 (Intramural Research Projects) ① The intramural research projects to be supported shall be limited to the following categories:

1. Research projects with which to provide startup support for a newly appointed faculty member
2. Research projects with which to foster basic science fields for which external funding is difficult to obtain
3. Research projects in the areas strategically promoted by the University

② The principal investigator shall be a tenure-track/tenured faculty member or a full-time regular staff member of the University. However, an exception shall be made for a non-tenure-track faculty member whose research capability has been recognized with approval from the head (at the level of Vice President) of the organizational unit he/she belongs to. (Amended March 22, 2013)

③ Matters concerning the management of intramural research projects shall be stipulated separately.

Article 6 (Sponsored Research Projects) ① The principal investigator must delegate the management of administrative tasks concerning sponsored research to the University, which in turn must faithfully fulfill its obligation as manager.

② (Deleted October 1, 2002)

③ In principle, the principal investigator shall be a tenure-track/tenured faculty member of the University. If a non-tenure-track faculty member or a contract researcher at the level of Staff Researcher or higher wishes to serve as principal investigator, he/she must obtain approval from a professor with the right to recommend and the head of the research department where he/she belongs; when granting approval, the professor with the right to recommend and the head of the research department of the principal investigator candidate must take into account the appointment period and the research capability, etc., of the non-tenure-track faculty member/contract researcher who is applying for principal investigator status.

④ When submitting an application for research funding (or a research proposal) or signing a research contract, the principal investigator must carry out the process through the unit in charge of overall management of research support; the submission of the application (proposal) and the signing of the research contract must be done in the name of the President of the University. If a research contract with an external agency has been signed in the name of a faculty/staff member or under the name of a research institute due to unavoidable circumstances, however, the principal investigator must immediately notify the fact to the unit in charge of overall management of research support and delegate its management to the University.

⑤ If a cause to terminate or modify a contract arises, mutual agreement must be reached between the University and the research sponsoring agency to terminate or modify the contract.

⑥ If a need for compensation arises due to the termination of a contract following a critical mistake or any negligence on the part of the principal investigator, or a penalty for delay is incurred due to a delay in carrying out a contract, the University then may exercise its right to indemnity against the liability of the principal investigator for the amount of compensation or penalty less the total research fund received for the project in question.

⑦ (Deleted October 1, 2002)

⑧ If a sanction is imposed by a state agency in connection with a research contract, the principal investigator must immediately notify it to the POSTECH Research and Business Development Foundation. The POSTECH Research and Business Development Foundation

must then notify the fact to the Research & Industry Relations Committee so that an appropriate measure can be taken. (Amended March 1, 2012)

Article 6-2 (Managing Unit) ① The President of the University may designate an affiliated research center or a unit that is capable of managing a research fund as a research fund managing unit and delegate to it all or part of the research administration functions of the unit in charge of overall management of research support.

② The managing unit to which research administration functions of the unit in charge of overall management of research support have been delegated must comply with the University's various rules and regulations pertaining research administration.

Article 6-3 (Internally-Run Projects) ① An internally-run project may be generated from a government-sponsored research and development program, industry-sponsored research project, or intramural research project.

② Detailed matters concerning the operation of an internally-run project shall be provided separately. (Established March 22, 2013)

Article 7 (Modification of Research Plan and Termination) ① While conducting an intramural research project, if a need arises to modify its research plan, the principal investigator must immediately submit a request for approval of modification to the unit in charge of overall management of research support; if the modification concerns a crucial matter, it must be reviewed by the Research & Industry Relations Committee. (Amended March 1, 2012)

② While conducting a sponsored research project, if a need arises to modify its research plan, or a cause for contract termination arises, the principal investigator must immediately notify the fact to the unit in charge of overall management of research support. Mutual agreement between the University and the research sponsoring agency is required for the modification or termination to take effect.

Article 8 (Administration of Research Funds) ① Funds received for sponsored research shall be managed separately; a separate book shall be kept for each project as a rule.

② Overheads may be collected from sponsored research projects; detailed standards on this shall be determined separately by the President of the University. (Amended May 8, 2012)

③ Part of the overheads collected may be paid to the principal investigator's department in the form of departmental research management fees; detailed standards on this shall be determined separately by the President. (Amended May 8, 2012)

④ If it is acknowledged that there is no way to collect a research fund due to bankruptcy, etc., of the research sponsoring agency, the fund may be regarded as uncollectable.

⑤ Other matters in regard to the collection and administration of research funds, such as the accounting and management of research funds, account setting, budgeting, research incentives, joint research funds, processing of research fund balances, etc., shall be determined separately by the President of the University. (Amended March 1, 2009)

Article 9 (Collection of Test and Analysis Fees) If University equipment is used in connection with the implementation of a research project, a fee may be collected; detailed matters concerning the collection of the fee shall be determined separately by the President of the University.

Article 10 (Submission of Reports) ① Intramural research projects shall be classified into projects whose results need to be published and projects whose results need not be published. (Amended March 22, 2013)

1. As for a project whose results need to be published, it is recommended that the results be published in a domestic or international academic journal within one month of completion of the project; if that is not possible, a research result report must be submitted to the unit in charge of overall management of research support.

2. As for a project whose results need not be published, a research result report must be submitted to the unit in charge of overall management of research support within one month of completion of the project.

② As for a sponsored research project, matters concerning publication or reporting of research

results shall be governed by the terms of each contract or what is provided in the call for proposals by the sponsoring agency. When publishing and/or managing a research result report, confidentiality must be maintained if necessary for the protection of the research sponsoring agency.

Article 11 (Action for Completion) ① Upon receipt of a final report and a notice of research completion, the unit in charge of overall management of research support must check whether or not the contract with the research-sponsoring agency has been fulfilled (if the project was delayed, whether or not the delay was approved) and take necessary action for the completion of research with the research-sponsoring agency accordingly.

② The administration of the research fund must end upon the expiration of the research period, and any balance (i.e. unused amount) must be processed in accordance with the standard for processing research fund balance, the details of which shall be set forth separately by the President of the University. (Amended March 1, 2009)

Article 12 (Ownership of Research Results) ① Intellectual property rights, research equipment, research facilities and books, and so forth generated in the course of conducting an intramural research project shall be owned by the University.

② Various results and products generated in the course of conducting a sponsored project shall be owned by the University unless provided otherwise in a particular research contract.

Article 13 (Technical Consulting, Etc.) A faculty member may provide technical consulting services such as the provision of technical information and technical training to an outside institution, and a research group may form a consortium with companies to jointly develop technologies that can break technology bottlenecks. Matters concerning these activities and services shall be determined separately by the President of the University.

Chapter 3 Employee Invention and Compensation for Implementation (Deleted May 9, 2008)

Chapter 4 Technology Transfer (Deleted May 9, 2008)

Chapter 5 Other Matters

Article 33 (Mutatis Mutandis Application) For matters other than those specifically provided by these regulations, the various rules and regulations of the University, the rules and regulations of funding agencies, and applicable laws shall apply. In the case of a research project sponsored by a government agency, however, the rules and regulations of the agency shall have precedence.

Article 34 (Research Security) For matters related to research security, the security regulations and the information protection regulations of the University shall apply. (Established March 1, 2009)

Article 35 (Research Ethics) For matters related to research ethics, the Research Ethics Regulations of the University shall apply. (Established March 1, 2009)

Addenda

1. (Effective Date) These amended regulations shall take effect on March 1, 1997.
2. (Interim Measure) Research administration tasks performed prior to the effective date of these regulations shall be deemed to have been performed in accordance with these regulations.

Addenda

1. These amended regulations shall take effect on June 1, 2001.
2. (Interim Measure) The regulations on employee invention and compensation for implementation enforced prior to the effective date of these amended regulations shall be abolished and integrated into these regulations as of the effective date of these amended regulations.

Addenda

1. (Effective Date) These amended regulations shall take effect on October 1, 2002.
2. (Interim Measure) Research administration tasks performed prior to the effective date of these regulations shall be deemed to have been performed in accordance with these regulations.

Addendum

These amended regulations shall take effect on August 1, 2003.

Addendum

These amended regulations shall take effect on March 18, 2004.

Addendum

These amended regulations shall take effect on May 9, 2008.

Addendum

These amended regulations shall take effect on March 1, 2009.

Addendum

These amended regulations shall take effect on March 1, 2012.

Addenda

1. (Effective Date) These amended regulations shall take effect on May 8, 2012.
2. (Interim Measure) The provisions in Article 8 (Administration of Research Funds) shall apply retroactively to the research projects launched on or after March 1, 2012.

Addendum

These amended regulations shall take effect on March 22, 2013.

Addendum

These amended regulations shall take effect on April 27, 2016.