

Detailed Rules for the Implementation of the Research Administration Regulations

Established Jan. 6, 2001 Amended Mar. 1, 2011
 Amended Oct. 1, 2002 Amended Jan. 1, 2012
 Amended Mar. 18, 2004 Amended Mar. 1, 2012
 Amended Feb. 7, 2006 Amended Feb. 18, 2013
 Amended Sep. 1, 2006 Amended Mar. 22, 2013
 Amended May 9, 2008 Amended July 10, 2015
 Amended Mar. 1, 2009 Amended Jan. 12, 2018

Chapter 1 General Provisions

Article 1 (Purpose) These detailed rules set forth detailed matters to be stipulated separately in accordance with the provisions of the Research Administration Regulations to ensure efficient performance of research administration functions.

Article 2 (Classification of Research Administration Units) Research administration units shall be classified into the unit in charge of overall management of research support (i.e. POSTECH Research and Business Development Foundation) and basic units for research support (i.e. academic departments and affiliated research centers capable of supporting research administration functions). (Amended March 1, 2009)

Article 3 (Classification of Tasks) Research administration tasks shall be classified as follows:

1. Collection, processing, and dissemination of research information
2. Submission of research plans
3. Research contracts
4. Administration of research funds
5. Redirection of research funds
6. Settlement of research fund accounts
7. Submission of reports
8. Management of reports and intellectual property rights
9. Publication and distribution of statistics and research achievements
10. (Deleted March 1, 2009)
11. (Deleted March 1, 2009)
12. Other research promotion activities (Amended March 1, 2009)

Article 4 (Roles and Responsibilities) ① The POSTECH Research and Business Development Foundation shall represent the University in conducting external affairs relating to research administration and assume the responsibility of making overall plans on research administration — namely, Items 1, 2, 3, 7, 8, 9 and 12 of Article 3. (Amended March 1, 2009)

② The basic units for research support shall assume the research administration tasks to be handled within the University — namely, Items 4, 5, and 6 of Article 3. In the case of redirection of research funds in Item 5, however, the POSTECH Research and Business Development Foundation shall carry out the task at the request of the basic unit concerned if consultation with the research-sponsoring agency is required. (Amended March 1, 2009)

Chapter 2 Intramural Research Funds (Amended March 22, 2013)

Section 1 Research Funds Supported as Part of the University Account (Deleted March 22, 2013)

Article 5 (Operation and Standards for Support) ① A faculty member who is already receiving an intramural research fund as of the date of application may not submit an application for an intramural research fund for the same or a similar research project.(Amended March 22, 2013)

② A faculty member who received a large sum of intramural funding for multiple years shall be given a low priority.

③ Startup funds for newly appointed faculty members shall be given the highest priority as a rule.

Article 6 (Application and Selection) ① Applications for intramural funding may be submitted at any time during a year; one copy of application must be submitted to the unit in charge of overall management of research support. (Amended March 22, 2013)

② It may be requested that an internal approval process be completed prior to the submission of an application for intramural research funding. The purpose and adequacy of the proposed research shall be examined before a funding decision is made. If necessary, a review by an appropriate university-level committee shall be conducted. (Amended March 22, 2013)

Article 7 (Research Fund Budgeting) (Deleted October 1, 2002)

Article 8 (Funding Period) ① The funding period for an intramural research project shall not exceed one year. To extend the administration of a research fund, a statement of reasons must be submitted separately, which shall be subject to approval by the unit in charge of overall management of research support. (Amended March 22, 2013)

②(Deleted March 22, 2013)

Article 9 (Common Research Fund, Etc.) ① From among the various expenses incurred in the course of conducting research, expenses that, by their nature, are better allocated and administered as common expenses may be subsidized with a common research fund.

② The common research fund shall be used for the following:

1. Research paper publication fees shall be subsidized to support academic activities of faculty members; details shall be stipulated separately. (Amended March 22, 2013)
2. Expenses for the application for and maintenance of intellectual property rights may be subsidized; the standard for support shall be determined separately. (Amended March 1, 2009)
3. Expenses that, by their nature, need to be allocated and administered as common expenses such as the expenses needed for the promotion of research may be subsidized. (Amended March 22, 2013)

③ If the President of the University acknowledges that it is necessary to create and manage a separate account for certain expenses under the common research fund given the frequency of support, an exclusive account for such expenses may be created, separate from the common research fund.

Section 2 Projects Supported by the Research Fund for Technology Development (Deleted March 22, 2013)

Chapter 3 Sponsored Research Projects

Article 12 (Classification of Sponsored Projects) Sponsored research projects subject to these detailed rules shall be as follows:

1. POSCO-related projects: Projects performed under contracts with POSCO, RIST, and POSCO New Technology Development Cooperative
2. State-sponsored research projects: Projects performed under contracts with the government, government-invested research institutes, state-invested research foundations, local governments, etc.
3. Industry-sponsored research projects: Projects performed under contracts with private companies, etc.
4. International research projects: Projects performed under contracts with foreign governments or foreign agencies
5. Other projects: Other projects sponsored by outside organizations that are not specified in the foregoing

Article 13 (Collection of Overheads) ① A certain amount of overhead shall be collected from sponsored research projects to help develop research infrastructure and promote research; detailed standards for this shall be determined separately by the President of the University. (Amended March 1, 2009) (Amended March 1, 2012)

② (Deleted October 1, 2002)

③ When submitting an application (or a research proposal) for extramural research funding and signing a research contract, the principal investigator must apply the maximum overhead rate permitted by the funding agency; if the funding agency has no specific standards for calculation of overheads, the University's standards for calculation of overheads shall apply. (Amended March 1, 2009) (Amended March 1, 2012)

Article 14 (Departmental Research Management Expenses) ① Part of the collected overheads may be paid to the principal investigator's research department in the form of departmental research management fees; detailed standards for such payment shall be determined separately each year by the President of the University. (Amended March 1, 2009) (Amended March 1, 2012)

② The Office of Planning shall be responsible for the general management of the overall departmental research management fees; the head of each research department shall be responsible for the management of the departmental research management fee account for his/her department. (Amended March 1, 2009) (Amended March 1, 2012)

③ A research department may use its departmental research management fees for the promotion of research and the development of the department. (Amended March 1, 2012)

Article 15 (Receipt of Research Funds) ① Research funds shall be received according to the following schedule:

1. Advance payment: 40% of the contract amount shall be received within 15 days of signing a contract.
2. Interim payment: 30% of the contract amount shall be received within 15 days of the submission of a mid-term report.
3. Final payment: 30% of the contract amount shall be paid within 15 days of the submission of a final report.

However, a schedule different from the one stated above may be specified in a contract in consideration of the characteristics of the given research project and the request of the

project's sponsor.

- ② As for a project sponsored by a government agency, the regulations of the agency shall apply.

Chapter 4 Research Fund Management

Article 16 (Accounting and Management) ① In managing a research fund, general matters related to accounting (including receipt of fund, payment, deposit, etc.) shall be handled by the department in charge of accounting, and matters concerning research fund budget management shall be handled by the department in charge of research administration.

② For each research project, the principal investigator shall be the person responsible for the research fund account in question and assume ultimate responsibility for the administration and settlement of the research fund account. However, a person who shall share the responsibility for the account may be designated if requested by the principal investigator.

③ Expenditures shall be made with a discretionary approval of the principal investigator. In the case of intramural research funds managed by the unit in charge of overall management of research support (e.g. common research fund), however, expenditures must be made pursuant to the discretionary approval standards of the University.

Article 17 (Creation of Accounts) ① Once a research contract is signed, or the award of a research grant to fund a project is confirmed, the unit in charge of overall management of research support must create an account designated for the project and notify it to the principal investigator.

② A serial number shall be automatically assigned by the system as an account number.
(Amended March 1, 2009)

Article 18 (Budgeting) ① For any and all research projects, the estimated budget specified in the research plan submitted at the time of signing a research contract shall be the basic budget.

② If the budget needs to be changed during the performance of a research project, the principal investigator must submit through the electronic system a request for budget change specifying the reasons for the change; for matters that require approval from the sponsoring agency such as the government, etc., the procedures prescribed by the agency must be followed.

Article 19 (Administration of Research Funds) ① Administration of research funds shall follow the following items. If a contract spans more than a year, however, budget shall be approved and administered on a yearly basis. (Amended January 12, 2018)

1. Projects from national institutions and POSCO may be administered within the range of total contracted or approved research funds regardless of receipt of funds or amount received.

2. Industrial research projects may be pre-administered within 50% of the contracted or approved research funds, and the rest may be administered in accordance with receipt records.

② The person responsible for a particular research fund account shall initiate expenditure procedure (i.e. propose and take an action that incurs expenditure) after confirming budget availability with the basic unit for research support.

③ The submitted research plan shall be the basis for the determination of which budget item a transaction shall be assigned; in cases where it is difficult to be applied, the unit in charge of overall management of research support shall make a decision, which must be respected.

④ As for the administrative procedure concerning research fund transactions, the general administrative and accounting standards of the University shall apply *mutatis mutandis*.

⑤ Domestic and overseas trip expenses for external researchers participating in research projects of the University shall be processed by applying the standard for the positions at the level of full-time lecturers or below as specified in the Business Trip Expense Regulations of the University *mutatis mutandis*. For a participating researcher belonging to an external agency,

however, the Business Trip Expense Regulations of the University shall apply *mutatis mutandis* unless the funding agency that sponsors the research project has special regulations for the case.

Article 20 (Test and Analysis Fees) ① Test and analysis fees shall be composed of salaries and wages, depreciation cost, maintenance cost, and materials and supplies cost; rates shall be determined separately each year.

② Detailed matters concerning the collection and management of the test and analysis fees shall be determined separately by the President of the University.

③ When a principal investigator resigns or retires, any balance remaining at the time in his/her test and analysis fee account shall be received and processed as part of the University Account.

Article 21 (Payment of Research Incentives) ① Research incentive payments may be made to boost research morale by making compensation appropriate for research achievements and efforts and to facilitate sponsored research.

② Research incentive payments drawn from a state-sponsored R&D project shall be provided to both the principal investigator and participating researchers; the incentive amount for each researcher shall be determined based on the evaluation of each researcher's contribution, which shall be separately conducted by the principal investigator. The detailed standards for all other incentives shall be determined separately by the President of the University. (Amended March 1, 2009) (Amended January 1, 2012)

③ (Deleted October 1, 2002)

④ (Deleted October 1, 2002)

⑤ (Deleted January 1, 2012)

⑥ (Deleted March 1, 2009)

⑦ (Deleted March 1, 2009)

⑧ (Deleted March 1, 2009)

Article 22 (Payment of Other Salaries and Wages) ① (Deleted March 1, 2011)

② Salaries and wages for commissioned researchers or clerks may not exceed the level of remuneration for staff members of the University with the same level of work experience.

Article 23 (Meeting Expenses) The amount of meeting expenses that can be paid for a research project is as follows unless specified otherwise by the sponsoring agency: if the total research fund does not exceed KRW 20 million, 15% of the total research fund may be spent to cover meeting expenses; if the total research fund exceeds KRW 20 million, 7% of the amount in excess of KRW 20 million plus 15% of KRW 20 million may be spent to cover meeting expenses.

Article 24 (Internally Sponsored Research Fund) (Deleted March 1, 2009)

Article 25 (Balance Account of Research Funds) (Deleted October 1, 2002)

Chapter 5 Technical Consulting, Etc.

Article 26 (Consulting) ① "Consulting" shall refer to the provision of technical advice for an outside institution by an individual faculty member as part of university-industry collaboration. Activities may include provision of technical information, holding an appointment as technology advisor, hosting technology seminars, etc.

② Any technical consulting that uses the University's resources (including manpower, space, equipment, etc.) must be based on a contract, and 10% of the total contract amount shall be charged as overheads. The timing of the profit-splitting shall be determined based on the contract. (Amended February 18, 2013)

③ Overheads shall not be charged for technical consulting services personally provided by faculty members without using any University resources. A faculty member who provided such

consulting service, however, must submit to the POSTECH Research and Business Development Foundation a result report on the service he/she performed. The POSTECH Research and Business Development Foundation shall keep and manage such records. (Amended February 18, 2013)

④ In principle, consulting service shall not be provided more than once a week (up to eight hours) on average. (Amended February 18, 2013)

Article 27 (Consortium) ① "Consortium" shall refer to a group organized by a research institute or a research group with private companies as members for the joint development of technologies that can break common technology bottlenecks. Activities may include development of technologies that can break technology bottlenecks shared by member companies, technology education and seminars for researchers at member companies, exchange of technology, joint research conducted by member companies, etc.

② A separate, exclusive account shall be created for membership fees, which shall be centrally managed.

③ 10% of the membership fees shall be collected as overhead; if a research project is generated, the standard for industry-sponsored projects shall apply. (Amended March 1, 2009) (Amended March 1, 2012)

Chapter 6 Employee Inventions and Compensations (Deleted May 9, 2008)

Chapter 7 Technology Transfer (Deleted May 9, 2008)

Chapter 8 Internally-Run Projects (Established Mar 22, 2013)

Article 28 (Operation and Standards for Support) The operation and standards for support shall follow what is provided in the Guidelines for the Management of Research Funds). (Established March 22, 2013)

Addenda

1. These detailed rules shall be established and take effect on June 1, 2001.
2. (Interim Measure) The Detailed Rules for the Management of Research Funds and the Regulations on Employee Inventions and Compensations, which existed prior to the establishment of these detailed rules, shall be integrated into these detailed rules and abolished accordingly as of the date of enforcement of these detailed rules.

Addenda

1. These amended detailed rules shall take effect on October 1, 2002.
2. (Interim Measure) The research-related tasks performed prior to the implementation of these detailed rules shall be deemed to have been processed in accordance with these detailed rules.

Addendum

These amended detailed rules shall take effect on March 18, 2004.

Addendum

These amended detailed rules shall take effect on February 7, 2006.

Addendum

These amended detailed rules shall take effect on September 1, 2006.

Addendum

These amended detailed rules shall take effect on May 9, 2008.

Addendum

These amended detailed rules shall take effect on March 1, 2009.

Addendum

These amended detailed rules shall take effect on March 1, 2011.

Addendum

These amended detailed rules shall take effect on January 1, 2012.

Addendum

These amended detailed rules shall take effect on March 1, 2012.

Addendum

These amended detailed rules shall take effect on February 18, 2013.

Addendum

These amended detailed rules shall take effect on March 22, 2013.

Addendum

These amended detailed rules shall take effect on July 10, 2015.

Addendum

1. These amended detailed rules shall take effect on January 12, 2018.
2. (Interim Measure) Amended Article 19 (Administration of Research Funds) shall take

3-4-2~8

effect starting from projects contracted after January 12, 2018.