

National Yang Ming Chiao Tung University

Management Regulations for Derivative Startup

Approved at the 4th Administrative Meeting of the University for the 2020 Academic Year on April 28, 2021

Article 1 The National Yang Ming Chiao Tung University (hereinafter referred to as the University) has established these regulations in order to encourage faculty and students to use the research and development technologies, professional knowledge or business bases developed or derived from the University's resources to establish startup businesses during their employment or study at the University, so as to promote the development of our country's technology industry and increase the source of the University's endowment fund.

Article 2 The term "derivative startup" referred to in these regulations refers to a business established by faculty and students of the University who use the resources of the University to develop or derive research and development results and invest them in technology or have a faculty member of the University serve as a director of the company.

Article 3 The term "faculty and students of the University" referred to in these regulations refers to the following personnel of the University:

1. Instructors, staff, researchers and technical personnel.
2. Contract employees and those employed in research projects.
3. Students (including in-service programs).

For those who use the University's resources other than those mentioned above, the provisions of these regulations apply.

For faculty, staff, and students who have left the University, if they have used the University's resources during their time at the University, they are also governed by these regulations.

Article 4 The resources of the University as referred to in these regulations refer to the following resources that are used by faculty, staff and students of the University and are owned by the University:

1. Software.
2. Hardware.
3. Internet resources.
4. Place and facility.
5. Equipment.
6. Materials.
7. Human resources.
8. Research and development results or intellectual property rights derived from government grant programs that belong to the University.
9. Tangible or intangible assets or other rights of the University under the provisions of industry-university-institute collaboration projects.
10. Any other resources that can be considered as resources of the University according to the relevant laws and regulations or in practice.

Article 5 Faculty, staff, and students of the University (hereinafter referred to as applicants) who wish to establish a derivative startup shall submit an application to the University's Center of Academia and Industry Collaboration during the preparation period for establishment.

Applicants shall submit the following documents:

1. Application form for the establishment of a derivative startup.
2. Operation plan of the derivative startup.
3. Conflict of interest avoidance and information disclosure statement.
4. Technical appraisal report.

The review process of the University's Center of Academia and Industry Collaboration is as follows:

1. The Center will conduct a preliminary review of the written information.
2. The Research and Development Management Committee will conduct a review of the conflict of interest avoidance, information disclosure statement and technical appraisal report.
3. The University's Derivative Startup Project Committee (hereinafter referred to as the Project Committee) will review the startup proposal and the startup's feedback to the University, and the applicant must be present for the presentation. The person in charge of the relevant business of the University may be a member of the report or attend the meeting as needed.
4. If the review is not approved, the applicant may submit another application within one month.
5. If the application is still not approved, the applicant may not submit a similar application within six months.

The president of the University shall appoint the director of the relevant affairs to be the convener of the meeting of the Project Committee, and invite five to seven scholars and experts from outside the University to be the members of the meeting to participate in the discussion and resolution of the meeting. The committee meeting is responsible for reviewing the appropriateness, effectiveness, and feasibility of the startup business. The review of appropriateness includes strategy compliance, timing, and procedural appropriateness, and consideration of the impact on important stakeholders. The review of effectiveness includes market analysis, product and marketing, and investment and profitability. Feasibility review includes business model, competitive analysis, entrepreneurial team, and technology and intellectual property.

Article 6 The Center of Academia and Industry Collaboration is responsible for the incubation, entrepreneurial counseling, technology licensing or transfer, and stock management of the University's derivative startup, and provides consultation and assistance in this regard. The University's derivative startups are entitled to preferential admission to the Incubation Center and to receive incubation.

Article 7 After the application is approved, the applicant shall complete the establishment of the derivative startup within six months and sign the relevant technology license or transfer contract with the University. If the applicant fails to complete the establishment and authorization process of the derivative startup, he/she shall submit a new proposal and follow these regulations and other University regulations.

If the terms and conditions of the technology license or transfer contract signed between the derivative startup and the University or the conflict of interest avoidance and information disclosure statement are changed and are not in accordance with the resolution of the project committee meeting, the applicant shall submit the relevant information to the project committee for review.

Article 8 Any derivative startup established in accordance with these regulations shall not use the name and emblem of the University without the written consent of the University; if there is a need for such use, application shall be made in accordance with the relevant regulations and procedures.

Article 9 In addition to the provisions of these regulations, all related laws and regulations shall be followed.

Article 10 These regulations shall come into effect after being approved by the Administrative Meeting of the University and shall be amended in the same manner.