

Regulations on Central Management of Research Funds

Chapter 1 General Provisions

Article 1 (Purpose)

The purpose of these regulations is to define matters related to the management of research funds provided to faculty members of Woosong University (hereinafter referred to as “the University”) for their research activities.

Article 2 (Definitions) The definitions of terms used in these regulations are as follows.

- ① Internal research funds refer to research funds provided from the University’s budget or research funds to faculty members for academic research purposes, excluding those provided as salary.
- ② External research funds refer to various research funds provided to faculty members of the University by external funding organizations (hereinafter referred to as “funding agencies”).
- ③ Principal Investigator refers to the person responsible for planning, execution, use, and settlement of research funds for a research project.
- ④ Indirect research expenses refer to expenses collected by the managing department or paid directly by faculty members from external research funds for supporting research activities, as well as funds separately provided by funding agencies under the name of indirect costs.
- ⑤ Managing Department refers to the department responsible for the overall management of research projects, research funds, and indirect research expenses, which is the Industry-Academic Cooperation Foundation.

Article 3 (Management Principles)

Research funds and indirect research expenses shall be centrally managed by the managing department under the responsibility of the head of the Industry-Academic Cooperation Foundation, delegated by the President.

Chapter 2 Internal Research Funds

Article 4 (Principles of Support)

- ① Research funding aims to promote faculty research activities and contribute to the development of the University.
- ② Selection of research projects shall be based on open competition in principle.
- ③ Selected projects shall be supported with necessary expenses for research execution.
- ④ The research period shall be one year in principle (from early March of the current year to the end of February of the following year).
- ⑤ Research funding shall be determined by the President after deliberation by the Academic Research Committee (hereinafter referred to as the “Committee”).

Article 5 (Project Types and Selection Criteria)

- ① Research projects shall focus on academic research fields and institutional development projects, and selection shall be determined by the President after Committee deliberation.
- ② The following factors shall be considered in selection.

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1. Clarity and necessity of research objectives
2. Creativity of research content and methods
3. Contribution to academic development and expected outcomes
4. Reasonableness and feasibility of the research budget

Article 6 (Eligibility)

- ① Applicants must be full-time faculty members of the University. In joint research, external full-time professors or researchers may participate.
- ② The following individuals are excluded.
 1. Those staying abroad or expected to be unable to conduct research due to long-term travel (over 3 months)
 2. Those who have not submitted required research results or reports from previous internal research funding

Article 7 (Submission of Reports and Publication of Results)

- ① The principal investigator must submit interim and final reports according to the research plan.
- ② Publications must acknowledge that the research was supported by University funding.

Article 8 (Evaluation of Research Results)

- ① Research results shall be confirmed by the President after Committee deliberation.
- ② Evaluation may be waived if results are published in recognized academic journals or as books.

Article 9 (Changes to Research Plan and Extension)

- ① Changes require submission and approval of a request.
- ② Changes are allowed within six months from the start of research in principle.

Article 10 (Reporting Suspension of Research)

If research cannot be conducted for over three months due to unavoidable reasons, it must be reported, and a substitute researcher must be designated in joint research.

Article 11 (Exemption of Obligations)

Obligations may be partially waived in cases such as death, serious illness, or retirement, subject to Committee approval.

Chapter 3 External Research Funds

Article 12 (Research Contract)

- ① The principal investigator must submit contracts and research plans.
- ② The managing department signs contracts with funding agencies.

Article 13 (Collection of Research Funds)

Payment shall generally follow:

1. Advance payment: 40%
2. Mid-term payment: 30%
3. Final payment: 30%

Article 14 (Submission of Reports)

- ① Reports follow Article 7.

- ② Confidentiality requirements by funding agencies must be observed.

Article 15 (Changes to Research Plan, etc.)

- ① If there are changes to the research plan or reasons arise for extending the reporting period, the Principal Investigator shall take the administrative measures prescribed in Article 9 and obtain the consent of the funding agency.
- ② The reasons for changes to the research plan, etc., are as follows:
1. When requested by the funding agency;
 2. Due to circumstances of the Principal Investigator;
 3. Due to circumstances of the contracting parties.

Article 16 (Termination of Contract and Compensation)

- ① If any of the following grounds for contract termination arise, the Principal Investigator shall submit an application for contract termination to the administrative department:
1. When the funding agency violates the contract, making it difficult to carry out the research properly;
 2. When it is deemed difficult to carry out the research due to circumstances of the Principal Investigator.
- ② If the contract is terminated due to reasons attributable to the Principal Investigator and the University is required to compensate for damages or pay delay penalties resulting from such termination, the University may exercise the right of indemnity against the Principal Investigator for the amount of compensation.

Article 17 (Continued Support for Suspended Commissioned Research)

- ① If funding for a research project is suspended due to circumstances of the funding agency during the course of the project, and continued research is deemed necessary, the Principal Investigator may request continued support from the administrative department.
- ② Upon receiving an application for continued support, the administrative department may, following deliberation by the “Committee” and a decision by the President, provide support through internal research funds. In such cases, the provisions of Chapter 2 on internal research funding shall apply.

Article 18 (Contracts for Subcontracted Research Projects)

- ① When the Principal Investigator subcontracts part of a research project for joint research purposes, the subcontract research agreement and research contract shall be submitted to the administrative department.
- ② The Principal Investigator shall bear substantive responsibility for the overall management of the subcontracted research project.

Article 19 (Submission and Modification of Execution Budget)

- ① The subcontracted research contractor shall manage the research funds provided by the University under a separate account.
- ② The subcontracted research contractor shall submit receipts, tax invoices, or other supporting documents required by the University’s administrative department to verify the use of research funds, and shall bear all disadvantages arising from insufficient documentation.

Article 20 (Confidentiality Obligation)

The subcontracted research contractor shall not disclose or provide to external parties any academic research-related information obtained in the course of performing the research project without prior approval of the University. However, this shall not apply when the subcontracted research contractor uses such information for research purposes.

Article 21 (Management of Subcontracted Research)

All matters related to the management of subcontracted research—such as submission of research reports, changes to research plans, and termination of research contracts—shall be governed by the relevant provisions of these regulations.

Chapter 4: Research Fund Management

Article 22 (Responsible Management)

- ① All research funds supporting research activities of faculty members shall be centrally managed by the administrative department.
- ② Budgeting and disbursement of research funds shall be handled by the research management department, while deposit, withdrawal, and general accounting shall be handled by the accounting division of the administrative support office.
- ③ The purchase of equipment and materials required for research shall be handled by the procurement management department of the administrative support office.

Article 23 (Account Establishment)

- ① Upon conclusion of a research contract, the administrative department shall assign a unique account number for each contract and notify the Principal Investigator.
- ② The unique account number shall be composed of the project identification number, contract year, and contract number.

Article 24 (Submission and Modification of Execution Budget)

- ① Once the fixed project number is confirmed, the Principal Investigator shall prepare and submit the execution budget for research funds in accordance with the guidelines of the funding agency.
- ② Changes to the execution budget shall follow the funding agency's guidelines. If no such guidelines exist, a request for budget modification specifying the details and reasons for the change shall be submitted to the administrative department.

Article 25 (Receipt of Research Funds)

Upon receipt of research funds, the administrative department shall deposit them into the University's account, manage them under the research fund account, and clearly record all receipts and disbursements.

Article 26 (Advance Payments)

- ① To facilitate smooth research activities, the Principal Investigator may request advance payments under the following circumstances:
 1. When urgent purchases or on-site purchases at remote locations are required;
 2. When small amounts of diverse materials and components must be purchased;
 3. When normal procurement procedures or expense execution are difficult, such as in the case of reproductions.
- ② In principle, advance payments shall not exceed 1,000,000 KRW from the deposited research funds. However, in exceptional cases, payment may be requested by submitting a statement of reasons.
- ③ The Principal Investigator receiving advance payments shall execute them within the scope of the approved budget and settle the account within 30 days of receipt with proper supporting documents. However, for overseas local purchases, the settlement period may be extended by the duration of the business trip.

Article 27 (Suspension of Research Fund Disbursement)

If the Principal Investigator falls under any of the following cases, the disbursement of research funds shall be suspended from the date of decision following deliberation by the “Committee,” and the Principal Investigator shall return the funds received:

1. When requested by the funding agency;
2. When regulations are violated in the course of conducting research;
3. When research funds are used for purposes other than those intended;
4. When obligations under Article 7, Paragraphs 1 and 2 are not faithfully fulfilled;
5. When there are other objective reasons requiring suspension of the research.

Article 28 (Reporting of Research Fund Receipt)

- ① If a faculty member receives research funds directly from a funding agency without passing through the administrative department, it must be reported to the administrative department.
- ② Reported research funds shall be managed in accordance with Articles 22, 23, and 24.

Chapter 5: Indirect Research Cost Management

Article 29 (Collection of Indirect Research Costs)

- ① The administrative department shall collect indirect research costs from commissioned research funds conducted by faculty members, and the criteria shall be determined by the President following deliberation by the committee.
- ② For joint research with external researchers, indirect costs shall be collected only on the portion of research funds allocated to the University’s faculty.
- ③ If the funding agency provides research funds including indirect costs separately, such amounts shall be deemed as collected indirect costs.
- ④ If the administrative department collects indirect costs directly, it shall notify the Principal Investigator accordingly.

Article 30 (Use of Indirect Research Costs)

- ① Indirect research costs shall be used for the following purposes to promote research activities:
 1. Support for activating research institutes;
 2. Maintenance and repair of research facilities;
 3. Personnel expenses for research support staff;
 4. Other expenses necessary for conducting research activities.
- ② Indirect research costs shall be executed under the responsibility of the administrative department within the approved budget.

Article 31 (Indirect Cost Accounting)

- ① The administrative department shall establish and operate a separate account for indirect research costs.
- ② The administrative department shall prepare annual budgets and financial statements for indirect research costs and report them to the President.

Article 32 (Obligation to Report Research Fund Receipt)

If a faculty member receives research funds directly from a funding agency without passing through the administrative department, it must be reported, and the prescribed indirect research costs shall be paid to the administrative department in accordance with Article 31.

Article 33 (Payment of Research Incentives)

- ① Research incentives may be provided to faculty members who contribute indirect research costs exceeding a certain amount.
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Chapter 6: Supplementary Provisions

Article 34 (Interest Management)

Interest accrued during the accounting period of research funds and indirect research costs shall be deposited into the University's indirect cost account.

Article 35 (Scope and Handling of Research Documents)

Unless otherwise specified, the scope and handling of research documents shall be governed by the document management regulations.

Article 36 (Ownership of Industrial Property Rights and Outputs)

- ① Equipment, research materials, facilities, and books acquired as a result of research shall belong to the University upon completion of the project.
- ② Industrial property rights, copyrights of research reports, and prototypes generated from research shall belong to the University immediately upon acquisition. However, for government-funded or commissioned research projects, ownership shall follow the terms of the research contract.
- ③ Assets attributed to the University under Paragraphs ① and ② shall be managed in accordance with the University's regulations.

Addendum

Article 1 (Effective Date)

- ① These regulations shall take effect on March 1, 1999.
- ② (Transitional Measures) These regulations shall not apply to research projects contracted prior to the effective date and currently in progress, and the previous research fund management regulations shall be abolished.