

Revision, February 13, 2012

Chapter 1 General Provisions

Article 1 [Purpose] The purpose of these Regulations is to provide the necessary matters concerning the management of research and indirect expenses in order to support efficiently the research activities of Seoul National University's faculty (including researchers and persons recognized as faculty member under the intra-university related regulations).

Article 2 [Definitions] The definitions of terms used in these Regulations shall be as follows:

1. The term "research expenses" refers to various kinds of expenses paid by Seoul National University (hereinafter referred to as "SNU") or supporting institutions so as to support research activities;
2. The term "indirect expenses" refers to the following expenses, which are collected or paid so as to support research activities smoothly:
 - (a) Expenses collected from research expenses in the name of indirect expenses according to the standard set by SNU; or
 - (b) Expenses paid in the name of indirect expenses included in or annexed to research expenses according to the standards set by supporting institutions;
3. The term "supporting institution" refers to the State or local government, government-funded institute, industry, Non-Government Organization, etc., that gives research expenses to SNU as a contracting party to an agreement with SNU;
4. The term "principal investigator" refers to a researcher who performs a research project as head with research expenses supported by SNU or supporting institutions;
5. The term "central management of research expenses" refers to a system that manages research expenses in overall respects such as various contracts, purchases, and executions relating to researches; and
6. The term "One-Stop Online System" refers to a computer system established for the purpose of centrally administering research expenses.

Article 3 [Scope of Application] Except as otherwise provided for separately in the provisions of supporting institutions, SNU's research expenses and indirect expenses shall be governed by these Regulations.

Chapter 2 Research Expenses Management System

Article 4 【Research Management Institution】 ① The president of Seoul National University (hereinafter referred to as the “president”) shall entrust matters relating to the central management of SNU’s research expenses to the head of the R&DB Foundation.

② The head of the R&DB Foundation, if necessary, may set up branch(es) of the R&DB Foundation and separately designate college (graduate schools), research institutes, etc., as sub-research Management Institution (hereinafter referred to as a “Management Institution”) for the efficient central management of research expenses.

③ Necessary matters for the designation and operation of a Management Institution shall be determined separately by the head of the R&DB Foundation.

Article 5 【Roles of Head of R&DB Foundation】 The head of the R&DB Foundation shall perform his/her affairs concerning each of the following subparagraphs in the central management of research expenses:

1. Comprehensive planning, management of the overall processes from the application stage to the result report, and utilization of the result outcome in the performance of research;
2. Various kinds of administrative and accounting tasks that occur in the course of conducting the research;
3. Assuring the researchers’ autonomy and providing convenience for researchers in the course of conducting the research;
4. Supervision, management and training of staff, and other matters necessary for research.

Article 6 【Roles of Head of Management Institution】 The head of a Management Institution shall perform his/her affairs concerning each of the following subparagraphs in the central management of research expenses:

1. Support in management of application for the performance of research projects, change of plan, reporting of result, and account settlement;
2. Support in the management of research expenses;
3. Supervision, management and training of staff, and other matters necessary for research.

Article 7 【Roles of the Principal Investigator】 A principal investigator shall perform his/her affairs concerning each of the following subparagraphs in the course of the research:

1. Faithful conduct of research during the research period in accordance with the research plan and correct use of research expenses;
2. Reporting various kinds of changed matters relating to research and research result and outcome, etc.;
3. Supervision, management and training of participating researchers, and other matters necessary for research.

Article 8 【Roles of Research Expense Managers】 The heads of the R&DB Foundation and Management Institution, the principal investigator, and the staff in charge of research-related administration and accounting (hereinafter collectively referred to as “research expense managers”) shall exercise due care as a good manager who is in charge of accounting of research expenses and indirect expenses and procurement of goods.

Chapter 3 Agreement on Research Project

Article 9 【Submission of Research Plan】 The head of the R&DB Foundation shall submit the research plan prepared by a principal investigator according to the guidelines of a supporting institution to the head of the supporting institution within the time limit.

Article 10 【Conclusion of Research Agreement】 ① In order for a principal investigator to receive research expenses from a supporting institution, a research agreement shall be made between the head of the supporting institution and the president or the head of the R&DB Foundation.

② In cases wherein the head of a supporting institution makes a request, notwithstanding Paragraph (1), a research agreement may be concluded in the name of the head of college (graduate school) with approval of the head of the R&DB Foundation.

Article 11 【Registration of Research Project】 The head of the R&DB Foundation shall register the details of project information such as agreement information of a research plan, working budget, and participating personnel, etc., of the One-Stop Online System and manage them by separate accounts.

Article 12 【Change of Research Agreement】 ① In cases wherein the grounds for changing the research agreement such as change of principal investigator, research project, participating enterprises or research period, etc., arise during the performance of a project, the head of the R&DB Foundation shall obtain consent from the head of the supporting institution.

② The head of the R&DB Foundation may, notwithstanding Paragraph (1), change the matters entrusted by the head of the supporting institution without his/her consent.

Article 13 【Termination of Research Agreement】 ① In cases wherein grounds for terminating an agreement arise, the head of the R&DB Foundation may terminate the relevant research project.

② In cases wherein the agreement is terminated according to Paragraph (1), the head of the R&DB Foundation shall settle the research expenses accounting and return the balance to the supporting institution according to the agreement.

Article 14 【Submission of Research Report】 ① A principal investigator shall submit an interim research report and a result report to the head of the R&DB Foundation via the head of the Management Institution according to the regulation prescribed by the supporting institution.

② The head of the R&DB Foundation shall submit the research report to the head of

the supporting institution within the time limit.

Chapter 4 Execution of Research Expenses

Article 15 【Management Research Expenses】 ① The head of the R&DB Foundation shall deposit the received research expenses to the research expenses management accounts established at a financial institution and shall centrally manage matters relating to the deposit and withdrawal of research expenses using the One-Stop Online System.

Article 16 【Use of Research Expenses】 ① Research expenses shall be used within the scope of the working budget.

② Research expenses shall not be used for purposes other than the research purpose.

③ Research expenses shall be used within the research period. However, if there are other special grounds such as approval of the supporting institution, etc., this shall not apply.

Article 17 【Payment of Research Expenses】 ① A principal investigator shall request for the payment of research expenses in accordance with the working budget via the One-Stop Online System, and the head of the R&DB Foundation shall pay the research expenses after confirming the request for payment of research expenses and its working budget.

② Payment of research expenses shall be made using a research expenses card (including a company credit card) or the payee's financial institution account.

Article 18 【Settlement of Research Expenses Accounts】 ① After a research project has been completed, the principal investigator shall notify the heads of the R&DB Foundation and the Management Institution of its completion; the head of the R&DB Foundation notified thereof shall then make a settlement of the research expenses accounts according to the guidelines of the supporting institution and submit the settlement report to the head of the supporting institution.

② The execution balance of research expenses shall be settled according to the guidelines of the supporting institution, if any, and shall be included in the indirect expenses of the R&DB Foundation and used, if there are no guidelines.

Article 19 【Audit of Research Expenses】 The president shall conduct an audit of research expenses on the research projects carried out by SNU, and necessary matters relating to the operation of research expenses audit shall be prescribed separately.

Chapter 5 Management of Indirect Expenses

Article 20 【Use of Indirect Expenses】 Indirect expenses shall be used for expenses concerning each of the following subparagraphs:

1. Expenses for the maintenance of research facilities;
2. Personnel expenses for the manpower supporting research activities;

3. Bonus paid according to the efficiency and achievements of research & development;
4. Support money utilizing research & development results and outcome;
5. Other expenses necessary for the performance of research activities.

Article 21 【Accounting of R&DB Foundation】 ① A fiscal year of the R&DB Foundation inclusive of indirect expenses shall conform to that of Seoul National University as a national corporate university.

② The head of the R&DB Foundation shall centrally manage indirect expenses using the One-Stop Online System.

Article 22 【Collection of Indirect Expenses】 ① Indirect expenses shall be collected in accordance with the standard set by the supporting institution. However, where there is no standard thereof, the standard set by the school affairs committee shall apply.

② In the case of joint research expenses or commissioned research expenses wherein research is performed together with researchers of the outside institution, indirect expenses can be collected limited to the research expenses paid to SNU's faculty.

③ In cases wherein a supporting institution has paid separate indirect expenses in addition to the research expenses, the separate expenses can be regarded as the collected amount of indirect expenses.

Article 23 【Budget Allocation】 ① The head of the R&DB Foundation shall receive the indirect expenses budget from the head of the Management Institution and compile and submit it to the president no later than one (1) month prior to the start of each fiscal year.

② The president shall fix the indirect expenses budget no later than ten (10) days prior to the start of the each fiscal year and notify the head of the R&DB Foundation thereof.

③ The head of the R&DB Foundation may draw up a revised supplementary budget and shall submit it to the president.

Article 24 【Execution of Indirect Expenses】 ① As for indirect expenses, the heads of the R&DB Foundation and the Management Institution shall use the budget of each institution under their own responsibility.

② The head of the R&DB Foundation shall use the indirect expenses under Paragraph (1) after reviewing them.

③ The budget that is not executed in the relevant fiscal year may be carried forward and used for the next fiscal year.

Article 25 【Balancing Reporting, etc.】 ① The head of the Management Institution shall submit the indirect expenses balancing report within ten (10) days of the close of each fiscal year to the head of the R&DB Foundation; the head of the R&DB Foundation shall then submit to the president accounting balance sheets of the R&DB Foundation, which includes the indirect expenses balancing report within fifty (50) days of the close of each fiscal year.

② The president shall deliberate and confirm the balancing accounts of the R&DB Foundation within seventy (70) days of the end of each fiscal year and open materials for balancing to the public.

Article 26 [Payment of Research & Development Bonus Paid According to Efficiency and Achievements]

① Research & development bonuses paid according to efficiency and achievements can be given to faculty and supporting personnel who have had remarkable research activities and achievements.

② Necessary matters concerning the payment of research & development bonus paid according to efficiency and achievements shall be determined separately by the president.

Chapter 6 Committee

Article 27 [Establishment of Committee] ① The head of the R&DB Foundation or the Management Institution may establish and operate a committee necessary to deliberate on important matters concerning the management and operation of research expenses and indirect expenses.

② Necessary matters, etc., concerning the construction and operation of the Committee shall be determined separately by the head of the R&DB Foundation or the Management Institution.

Chapter 7 Supplementary Provisions

Article 28 [Appointment of Staff] ① The head of the R&DB Foundation or the Management Institution may hire staff necessary for supporting the research activities of faculty using the indirect expenses as financial resources.

② Necessary matters concerning appointment, remuneration, service, etc., of staff shall be determined separately by the heads of the R&DB Foundation and the Management Institution.

Article 29 [Interest] Interest accrued while managing and operating research expenses and indirect expenses shall be incorporated into indirect expenses and managed together. However, where the supporting institution sets separate guidelines, such guidelines shall apply.

Article 30 [Management of Research Equipment and Articles] Articles such as research equipment, furnishings, etc., which are purchased with research expenses and indirect expenses, shall be managed on purchase as assets of the R&DB Foundation. However, where a request of returning articles is made by the supporting institution, this shall not apply.

Article 31 [Preservation of Relevant Documents] ① The heads of the R&DB Foundation and the Management Institution shall preserve documents relating to the management and operation of research expenses and indirect expenses for five (5) years.

② In cases wherein documents referred to in Paragraph (1) are entered into any EDPS (Electronic Data Processing System) using the One-Stop Online System, the auxiliary

storage media shall be kept and maintained until the end of the preservation period.

③ Other matters that are not prescribed shall be settled by applying the Act on the Management of Public Archives.

Article 32 【Detailed Regulations】 Other detailed matters necessary for the management and operation of research expenses and indirect expenses shall be determined separately by the president.

ADDENDA (Reg. No. 1856, February 13, 2012)

Article 1 【Enforcement Date】 These Regulations shall enter into force on the date of their promulgation.

Article 2 【Applicability to R&DB Foundation Accounting】 According to Paragraph 1, Article 21, the fiscal year of the R&DB Foundation for 2012 shall be divided into Session 9 (January 1, 2012 through February 29, 2012.) and Session 10 (March 1, 2012 through February 28, 2013).