

Guidelines for Security Control of Government-Funded National Core Science and Technology Research Projects Administered by Academia Sinica

Approved on April 2, 2024

Amended on February 20, 2025

1. To control the administration of relevant research projects and to protect the security of high-tech research and development outcomes and data, Academia Sinica (AS) has established the Guidelines for Security Control of Government-Funded National Core Science and Technology Research Projects Administered by Academia Sinica (the Guidelines) in accordance with the Government-Funded Science and Technology Research Projects of National Core Security Controls Operations Manual (the Security Control Manual) formulated by the National Science and Technology Council.
2. Definitions:
 - (a) National core technology: An advanced technology and relevant research outcomes or data that, if illegally transferred abroad or to mainland China, Hong Kong, or Macau, would jeopardize national security or impair the competitive advantage of the national economy.
 - (b) Government-funded national core science and technology research projects: A project that is funded by the government and falls within the scope of national core technology; such a project is also abbreviated as a national core technology research project.
 - (c) National core technology data: The knowledge, theories, formulas, models, data, experimental records, processes, technologies, design diagrams, samples, and equipment generated or enhanced by the participants of a national core technology research project during its administration. National core technology data must be kept confidential.
 - (d) National core technology research and development outcomes: The research and development results of national core technology research projects.
3. Confidentiality regulations and duration for controlled projects:
 - (a) Controlled projects: Projects that are designated as national core technology research projects by government funding agencies.
 - (b) Importance level: In accordance with the provisions of the Security Control Manual, national core technology research projects are classified as either

Level A and Level B projects. The classification level of a project is determined by the relevant government funding agency at the time of project approval.

- (c) Confidentiality regulations for researchers: The principal investigator and research personnel participating in a project must adhere to confidentiality obligations and take the necessary confidentiality measures as stipulated in the Security Control Manual. They must sign a confidentiality agreement as specified by the government funding agency (see Appendix 1 for exceptions specified by the funding agency). The principal investigator will distribute the confidentiality agreement to the relevant research personnel to obtain their signatures. Upon completing this process, the principal investigator submits the original copies to AS for record-keeping. New members of an ongoing project must promptly sign the confidentiality agreement upon joining. AS will compile a list of participating personnel and will notify AS's Department of Information Technology Services to implement enhanced control measures aimed at addressing national cybersecurity concerns. The participation of foreign nationals in a national core technology research project must be approved by the relevant government funding agency, and AS shall submit relevant documentation to the agency for approval.
- (d) Control period: The control period for a project is determined in accordance with the contract or project administration agreement.

4. Regulations related to events for disclosing research and development outcomes and data pertaining to national core technology research projects:

- (a) General Level A national core technology research projects: At least 21 days before an event, the Principal Investigator must complete the Application for Disclosure of Government-Funded National Core Technology Research and Development Outcomes (Appendix 2). After the application is approved by the unit head, it is submitted to AS, which then forwards it to the relevant government funding agency for review.
- (b) General Level B national core technology research projects: At least 14 days before an event, the Principal Investigator must complete the Application for Disclosure of Government-Funded National Core Technology Research

and Development Outcomes (Appendix 2). After the application is approved by the unit head and endorsed by the AS President or authorized personnel, the event may be held. The application must be sent to the relevant government funding agency for record-keeping one week before the start of the event.

- (c) Projects involving technical collaborations, technology transfers, foreign investments, and patent applications: The Principal Investigator must complete the Application for Disclosure of Government-Funded National Core Technology Research and Development Outcomes (Appendix 2). After the application is approved by the department head, it is submitted to the Agency, which then forwards it to the relevant government funding agency for review.
- (d) For all public disclosure events, a post-event report must be submitted. The project Principal Investigator will complete the Report on Event for Disclosing Government-Funded National Core Science and Technology Research Project Outcomes (Appendix 3). After the report is approved by the unit head, it will be submitted to AS, which then forwards it to the relevant government funding agency for record-keeping.
- (e) Review and analysis of disclosure events: Every six months, the Principal Investigator must conduct a review of the implementation status and data of project research, and must disclose it by completing the Review Report on Disclosure of Government-Funded National Core Technology Research and Development Outcomes (Appendix 4). This report must be submitted within 15 days after the end of each six-month period (by January 15 and July 15 of each year). After the report is approved by the unit head, it will be submitted to AS, which then compiles and completes the Register of Disclosure Events for National Core Technology Research and Development Outcomes (Appendix 5) and sends it to the relevant government funding agency for record-keeping.

5. Contracts and reports for national core technology research projects must be submitted to government funding agencies as confidential documents. Other activities not related to project content, such as the submission of invoices, hiring

of assistants, extensions, implementation of budget changes, and reimbursements, shall be processed in accordance with standard procedures.

6. Response to security breaches: In the event of a suspected breach of confidentiality or an intentional or unintentional leak, loss, or theft during a disclosure event involving the research and development outcomes and data of a national core technology research project, action shall be taken in accordance with the Classified National Security Information Protection Act, Directives for Confidentiality of Technology Data, and the relevant provisions in the Security Control Manual. Furthermore, immediate remedial actions must be taken, and AS must inform the corresponding government funding agency of the breach. After addressing a breach, the Principal Investigator must complete the Notification Form for Breach of Confidentiality Involving Government-Funded National Core Technology Research and Development Outcomes (Appendix 6) and submit it to AS, which will then forward it to the relevant government funding agency.
7. For matters not covered in these Guidelines, actions shall be taken in accordance with the Security Control Manual and relevant regulations.

Appendix 1

Academia Sinica National Core Technology Research Project Confidentiality Agreement

I, _____, am serving as a Principal Investigator, Co-Investigator, Collaborative Research Fellow, Doctoral-level Research Fellow, or Full-time/Part-time Staff Member of the project titled _____ (the Project) overseen by Academia Sinica (AS). The Project, funded and supervised by the government agency (Name: _____) and central competent authority (Name: _____), is designated as a Level _ National Core Technology Research Project. In accordance with my duties and assignments, I recognize that all related information and outcomes of the Project are confidential, and I hereby agree to adhere to the following stipulations.

Article 1 A National Core Technology Research Project refers to a project regulated by the Government-Funded Science and Technology Research Projects of National Core Security Controls Operations Manual (the Security Control Manual). In administering this project, I am obliged to follow the security control protocols established by AS in accordance with the Security Control Manual and relevant regulations, fulfill confidentiality obligations, and implement the necessary confidentiality measures. Failure to comply with these regulations or to fulfill confidentiality obligations shall result in actions being taken in accordance with the Code of Ethics for Academia Sinica Research Fellows and Research Specialists.

Article 2 All knowledge, theories, formulas, models, data, experimental records, processes, technologies, design drawings, samples, and equipment created or enhanced during the administration of the Project are classified as national core technology data and must be kept confidential.

Article 3 During my participation in the Project, any activity intended to disclose any Project data externally – including but not limited to the voluntary or passive dissemination of paper-based or digital data, publication of academic papers, delivery of public speeches or oral reports, participation in onsite visits, engagement in technical cooperation, transfer of technology or complete factory outputs, participation in international academic exchanges, employment as an exchange professor or technician in an overseas institution, or application for patents – is regarded as a public disclosure of national core technology research

and development outcomes. These activities must be conducted in accordance with the Security Control Manual and relevant regulations established by AS. This provision also applies to the actions of the agency (institution) administering the Project and all activities conducted by its subcontracting agencies (institutions).

Article 4 I shall protect the confidentiality of Project information as diligently as I would protect my own confidential or proprietary information, and I agree to take all reasonable and necessary measures to maintain such confidentiality. Without submitting an application and obtaining approval in accordance with the operational regulations of the Project, I may not in any manner disclose or allow any third party to access any confidential information of AS or relevant inventors, and I may not use or allow any third party to use the research project outcomes or confidential information of AS or inventors in any way.

Article 5 At the conclusion of my participation in the Project, except for personal items, I shall return all objects and information related to the Project, regardless of whether they are originals or copies and irrespective of the storage medium used, to AS. I must not retain any such objects or information privately, and I shall immediately transfer them to AS or its designated representative and complete all relevant procedures. This requirement also applies if AS requests for them to be returned. Any data that cannot be returned, including but not limited to software programs installed on hardware devices or other digital media, must be immediately erased or destroyed. I shall sign an affidavit to guarantee that all such records or data have been fully returned or destroyed.

Article 6 For my involvement in the Project, I am aware that, without following the required legal procedures, I may not use any confidential information or research outcomes related to the Project for any other project or within AS.

Article 7 If I violate the provisions of this Agreement, AS may claim compensation for the damages incurred and may pursue legal liability for any breach of confidentiality.

Article 8 My obligation of confidentiality under this Agreement remains in effect until all information related to the Project is declassified. This obligation remains in effect even after the conclusion of my participation in the Project or my resignation.

Article 9 The interpretation of matters not covered in this Agreement shall be governed and supplemented in accordance with the laws of Republic of China. Any disputes arising from this Agreement will fall under the jurisdiction of the Taipei District Court.

Article 10 Original copies of this Agreement shall be kept by the signatory, principal investigator, and AS as evidence of agreement.

I have read all provisions in this Agreement and hereby promise to fulfill the relevant obligations by providing my signature:

Signatory: (signature or stamp)

National ID No.:

Contact Address:

Residential Address:

Email:

Contact Number:

Date: _____ (MM/DD/YYYY)

Appendix 2

Academia Sinica Application for Disclosure of Government-Funded National Core Technology Research and Development Outcomes

This application form must be completed when the administering agency (or relevant personnel) for a national core technology research project intends to share the research outcomes of the project voluntarily or passively through a disclosure event. They shall send the form to the corresponding government funding agency for review or record-keeping purposes depending on the importance level of the project.

1. The project importance level

Date: _____(MM/DD/YYYY)

The project importance level is categorized into Level A and Level B. Please select the appropriate level for your project.

| Please check the appropriate level in this column. | Level A | Level B | Project Review Agency |
|--|---------|---|--|
| | | <ul style="list-style-type: none">● | <p>1. For a project that does not involve technical collaborations, technology transfers, or patent applications, the disclosure of research and development outcomes must be approved by the head (responsible person) of the agency administering the project. Additionally, the agency must submit an application for a disclosure event to the relevant government funding agency for record-keeping at least one week prior to the event.</p> <p>2. For projects involving technical collaborations, technology transfers, and patent applications, any disclosure of research and development outcomes must be approved by the relevant government funding agency.</p> |

| | | |
|--|---|---|
| | • | <p>1. For projects that do not involve technical collaborations, technology transfer, or patent applications, any disclosure of research and development outcomes must be approved by both the central competent authority and the relevant government funding agency.</p> <p>2. For projects involving technical collaborations, technology transfers, and patent applications, any disclosure of research and development outcomes must be approved by both the central competent authority and the relevant government funding agency.</p> |
|--|---|---|

2. Project information

(1) Project title:

Project code:

(2) Principal Investigator:

Title:

Employing unit:

Contact number:

(3) Administering agency (institution):

(4) Funding agency:

(5) Administration period: From (MM) (DD) (YYYY) to (MM) (DD) (YYYY)

3. Contact person:

Contact number:

4. Event information:

(1) Method of administration (Please select the relevant option by checking the corresponding box and fill in the required information.)

A. ☐ Provide paper-based or digital documents to _____.

(Please provide the name of the receiving agency, unit, or person.)

B. ☐ Publish a paper in _____.

(Please provide the journal name.)

- C. ☐ Give a public speech, present an oral report, or engage in a discussion in _____.(Please provide the name of the hosting unit or conference.)
- D. ☐ Invite an agency or group _____ to visit the project site.
(Please provide the name of the visiting agency or group.)
- E. ☐ Participate in a technical collaboration, technology transfer, or package plant export arrangement with _____. (Please provide the name of the receiving country and unit.)
- F. ☐ Engage in an international academic exchange with _____ . (Please provide the names of the participating countries, units, and main attendees.)
- G. ☐ A project member _____ plans to become an exchange professor at _____. (Please provide the names of the partner institution and its exchange professor.)
- H. ☐ A project technician _____ plans to accept employment at an overseas institution. (Please provide the names of the technician and hiring institution.)
- I. ☐ Store the research and development outcomes in a digital platform _____ for public viewing. (Please provide the name of the management unit and the address of the platform site.)
- J. ☐ Apply for a patent in _____ (name of the country) for _____. (Please provide the name of the technology or method and attach the patent application form.)
- K. ☐ Other methods_____

(2) Event period: From____(MM)____(DD)_____ (YYYY) to
____(MM)____(DD)_____ (YYYY)

(3) Event location:_____

(4) Please provide a list of the contents that may be disclosed during the event:

(5) Please provide a list of the contents for which disclosure is prohibited during the event:

| | | | | |
|------------------------|--------------|-------|----|-------|
| Event participants (*) | Signature:1、 | Date： | 2、 | Date： |
| | 3、 | Date： | 4、 | Date： |
| | 5、 | Date： | 6、 | Date： |

Signature of Principal Investigator: Date：

Signature of supervisor in the relevant department of the administering agency (institution): Date：

Signature of director or responsible person of the administering agency (institution): Date：

*The term “event participants” refers to individuals who will disclose the contents listed in 4(4) of this form
by participating in the event arranged through the method specified in 4(1).

Academia Sinica Patent Application Information Form

Project name:

Project number:

| | |
|------------------|--|
| Application date | |
| Patent name | |
| Inventor(s): | |
| Applicant(s): | |
| Patent abstract: | |

Preparer's signature:_____

Date prepared:_____ (MM/DD/YYYY)

Appendix 3

Academia Sinica Report on Event for Disclosing Government-Funded National Core Science and Technology Research Project Outcomes

After the conclusion of a disclosure event that involves the sharing of national core technology research and development outcomes and data, the event participants must complete and submit this form. After the form is authorized by the agency where they are employed, it must be sent to the relevant government funding agency for record-keeping purposes.

1. Project title:
2. Event approval
 - (1) Approving agency:
 - (2) No. of approval letter:
 - (3) Date of approval letter:
3. Please provide a copy of the event application form and approval letter.
4. Did the data or orally presented information disclosed during the event match those approved in the application form? (Please select the relevant option by checking the corresponding box and attach documents specifying the actual data disclosed during the event.)
 - ☐ The disclosed data or orally presented information did not include any unapproved content associated with the core technology in question.
 - ☐ The disclosed data or oral presented information included unapproved contents associated with the core technology in question. (Please specify the reasons why the unapproved contents were included and the scope of these contents.)
 - (1) Reasons:
 - (2) Unapproved contents:

Reporting agency:

Signature of reporting person:

Contact number:

Date:

Event participants (*) Signature: : 1 、

Date: 2 、

Date:

3 、

Date: 4 、

Date:

5 、

Date: 6 、

Date:

*Event participants: refer to individuals who disclosed data during the event.

Appendix 4

Academia Sinica Review Report on Disclosure of Government-Funded National Core Technology Research and Development Outcomes

The administering agency (institution) must prepare this report every six months and submit it to the corresponding government funding agency for record-keeping purposes.

1. Administering agency:
2. Reporting period: (Please select the relevant option by checking the corresponding box and fill in the required information.)
 - ☐ First half of (YYYY) (Please provide data for January–June and submit the report to the funding agency before July 31 of the current year.)
 - ☐ Second half of (YYYY) (Please provide data for July–December and submit the report to the funding agency before January 31 of the following year.)
3. Event description:

(The administering agency shall compile all data related to all disclosure events conducted for government-funded national core technology research and development projects. The data include: (1) the number of Level A and Level B national core technology research projects, the amount of government funding received, and the number of research fellows involved in the projects; (2) the number of disclosure events for which an application was submitted or a notification was sent; (3) the number of approved disclosure events; (4) the number of violation incidents; and (5) a comprehensive review comprising an analysis and recommendations pertaining to improvements for subsequent disclosure events. Additionally, please attach Appendix 5.)
4. Analysis of individual violation cases (The analysis shall include both intentional and unintentional disclosures. Please analyze each case individually by covering aspects such as the background of the incident, how the incident was handled, measures for improvement, and the effects of the incident on national security. The length of the report for each case shall be one page.)

Case 1: : XXXXXXXXXXXXXXXXXXXX

(1) Background

(2) Handling process

(3) Improvement measures

(4) Effect on national security

Appendix 5

Academia Sinica Register of Disclosure Events for National Core Technology Research and Development Outcomes

| Administering agency | | ((MM) (YYYY) to (MM) (YYYY)) | | | | | | | Date: _____ (MM/DD/YYYY) | | |
|----------------------|----------------|--|---------|--|----------------------------|------------------------|---------------------|-------------------------|--|---|-----------------|
| Project title/code | Funding agency | Importance level | | Amount of funding received (in thousands of NTD) | Number of research fellows | Number of applications | Number of approvals | Number of notifications | Approved method of disclosure (Note 1) | Occurrence of violation incidents (Please check the appropriate option.) (Note 2) | Remark (Note 3) |
| | | Level A | Level B | | | | | | | | |
| | | | | | | | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| | | | | | | | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| | | | | | | | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| | | | | | | | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | |
| | | | | | | | | | | <input type="checkbox"/> YES <input type="checkbox"/> NO | |

Note 1: Event types are categorized as follows; please specify the approved event code and the number of violation incidents that occurred; for example,

“A/3” indicates that Event A occurred 3 times.

A: provision of paper-based or digital data;

B: publication of academic papers;

C: public speeches, oral reports, or discussions;

D: public events or site visits;

E: technical collaborations, technology transfers, or package plant export arrangements;

F: international academic exchanges;

G: exchange professors;

H: employment at foreign institutions;

I: storage of project outcomes in computers for public access;

J: others (Please specify the method).

Note 2: In the event of a violation, please provide a detailed account for each case, including the background of the incident, how the incident was handled, improvement measures, and the effects of the incident on national security.

Note 3: Please specify if the disclosure method involves either technical collaborations, technology transfers, or patent applications.

Appendix 6

Academia Sinica Report on Violation Involving Disclosure of Government-Funded National Core Technology Research and Development Outcomes

Date: (MM/DD/YYYY)

After addressing a violation incident involving unapproved disclosure, the administering agency (institution) and relevant institutions that conducted independent research must complete this report form and submit it to the corresponding government funding agency.

1. Project title:

Project code:

2. Basic information (Please select either “☐Possible or ☐Confirmed” as appropriate.):

(1) Reporting person:

Employing unit:

Contact information:

(2) Time at which core technology data were disclosed (☐Possible or ☐Confirmed):

Time at which the disclosure was discovered:

Time at which the reporting person noticed the disclosure:

(3) Circumstances under which core technology data were disclosed (☐Possible or ☐Confirmed):

(4) Person who discovered the disclosure:

Name:

Employing unit:

Contact number:

(5) Possible location of the disclosure:

Location where the disclosure was discovered:

(6) Recipient (person or unit) of the disclosed data (☐Possible or ☐Confirmed):

(7) Importance level of the disclosed data (Please select all options that apply.):

☐ Level A ☐ Level B

3. Please describe in detail the reasons for the violation:

4. Please describe in detail the disclosed content:

5. Please describe in detail the severity of the disclosure (including its effect on economic development, technological advantages, and other national security matters):

6. Please describe in the detail how the agency handled the disclosure incident:

7. Please describe in detail the improvement measures to be implemented following the disclosure incident:

Reporting person: (signature) Title: Date: