

# Guidelines for the Management of the NYCU Drink Water, Remember the Source, Act Together Himalaya Program

Adopted by the University Endowment Fund Management Committee 1st meeting of academic year 2022 on Oct 11, 2022

## 1. Purposes

- 1) The “National Yang Ming Chiao Tung University (NYCU) Drink Water, Remember the Source, Act Together Himalaya Program” (hereinafter this Program) is initiated by the Spring Foundation of NCTU, the Chi-yuan Foundation of Tainan City, and the NCTU Alumni Association, in collaboration with National Yang Ming Chiao Tung University (hereinafter NYCU or the University), and is funded by fundraising or academia-industry cooperation with enterprises, with the funds allocated and used for specific purposes on a recycling basis.
- 2) The aim of this Program is to help our colleges or research centers to become a world leader, to aid the University in creating unicorn start-ups, to achieve success in research and development in 5 to 10 years, and to expect our professors to win the Nobel Prize and to prepare our school to become a university of greatness and the light of the world. This Program is designed to achieve the strategic goal of positioning the University as a world leader, and sets out the Program's management guidelines (hereinafter the Guidelines).
- 3) This Program is operated as a service platform on the NYCU campus, with the Center for Industry-Academia Collaboration of the Office of Research and Development (R&D Office) and the Social Responsibility Development Office working together on academia-industry collaborations and donations for this Program (hereinafter this Platform).

## 2. Program Resources

- 1) Cash, equity or other tangible or intangible assets derived from fundraising.
- 2) Proceeds from university-industry cooperation projects with enterprises.
- 3) Cash, equity or other tangible or intangible assets derived from assistance provided by this Program.

## 3. Promotion Organizations

- 1) The “NYCU Himalaya Program Executive Committee” (hereinafter the Executive Committee) is formed by the University, the Spring Foundation, the Chi-yuan Foundation, and the NCTU Alumni Association for this Program.
- 2) The Executive Committee consists of 7 to 9 members, with the President of the University or his or her designee, the R&D Director, the Director of the Center for Industry-Academia Collaboration, and the Executive Director of the Social Responsibility Development Office as ex-officio members, while the other

members are appointed by the President on the recommendation of the Spring Foundation, the Chi-yuan Foundation, and the NCTU Alumni Association. Members serve a two-year tenure and are eligible for reappointment when their term of office expires.

- 3) The Executive Committee has an Investment Advisory Meeting with 3 to 5 advisors, and a chairman elected by and from among the advisors, who is responsible for providing investment advice to the Executive Committee on start-up companies for the same term as the Executive Committee members.
- 4) The Executive Committee shall be chaired by the President of the University or his/her designee.
- 5) The President decides on the program host.
- 6) The Center for Industry-Academia Collaboration employs professional staff to handle the business of this Program.

#### 4. Fundraising Process and Use of Funds

- 1) Funding execution process: This Platform proposes a funding execution plan and submits it to the Executive Committee for resolution, with grants applications for research projects or grants and maintenance applications for patents, trademarks and other tangible and intangible intellectual property rights to be turned over to the R&D Office for filing and future reference. For investment cases, they should be handed over to the University's Investment Management Team for discussion, and scrutiny and approval by the University's Endowment Fund Management Committee.
- 2) Funded Items:
  - (1) Grants for designated research projects.
  - (2) Grants for patent, trademark and other tangible and intangible intellectual property applications and maintenance.
  - (3) Lectureships for professors.
  - (4) Scholarships for students.
  - (5) Investment in startups that contribute to the development of the University.

#### 5. Recycling of Program Resources

- 1) In accordance with the University's "Guidelines for the Management of Receipts and Disbursements of Donation Income," 5% of the total amount of assets derived from the fundraising and equity interests of this Program (the amount received after the disposal of dividends or equity) shall be set aside as the administrative expenses of the University, and the rest shall be returned to this Program's dedicated account for recycling.
- 2) Where funds raised for this Program are approved by the Executive Committee

to be expended on designated R&D projects, 5% of the total funds raised shall be earmarked for the University's administrative expenses and 15% of the total funds shall be set aside for administrative and personnel expenses related to this Program, as stipulated in the University's "Guidelines for the Management of Receipts and Disbursements of Donation Income."

- 3) The University's "Guidelines for the Management of Receipts and Disbursements of Income from Academia-Industry Cooperation" govern this Program's University-Industry cooperation, with 20% of the total Program funding to be allocated as the University's administrative fees, of which 5% goes to the dedicated account for academia-industry cooperation under this Program.
- 4) For patent applications that are guided or subsidized by this Program or other R&D results and technology transfer proceeds, the University shall retain its allocation rights in accordance with its "Regulations for the Management of R&D Results and Technology Transfer," with 20% of the total amount of technology transfer proceeds to be allocated to the invention team, or as otherwise agreed in a written contract, for use in the promotion of business in connection with this Program.
- 5) The start-up companies mentored by this Program shall contribute equity to this Program in a percentage to be agreed upon in a separate written contract.

## 6. Performance Management

- 1) The Executive Committee meets regularly.
  - 2) Unless otherwise specified by the University, this Platform annually provides information on its performance to the Spring Foundation, the Chi-yuan Foundation, the NCTU Alumni Association, and the R&D Office, and report to the University's Endowment Fund Management Committee.
7. Any matters not provided for in these Guidelines shall be subject to the laws and regulations of the government and the relevant rules of the University.
  8. These Guidelines shall come into effect upon review and approval by the University's Endowment Fund Management Committee and the same shall apply to any subsequent amendments hereto.