

## National Central University

### Regulations Governing Industry-Academic Cooperation

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Article 1 To promote knowledge accumulation and expansion, develop educational, training, research, and service functions as well as benefit national education and economic development, the “Regulations for the Industry-Academic Cooperation of the National Central University” (hereinafter the “Regulations”) are hereby established per the “Enforcement of Regulations Governing the Industry-Academic Cooperation at Institutions of Higher Education” of the Ministry of Education and the organization charter of the school.

Article 2 The industry-academic cooperation referred to herein means the

cooperative management with governmental agencies, enterprises, private groups, and academic research institutions (hereinafter the “Industry-Academic Cooperation Institution”) for matters regarding the educational goals of the school, research grants of government, and matters designated by the government to promote the development of different industries.

Article 3 The Department of Research and Development of the school shall be responsible for the preparation and management of industry-academic cooperation policies.

Article 4 The scope of the industry-academic cooperation is as follows:

1. Various research developments and their applications including research projects, substance exchanges, tests, examinations, technological services, consultations, patent applications, technological transfers, innovative incubation, etc.
2. Various education, training, study, seminar, internship, or training-related cooperation.
3. Intellectual property rights applications.

If otherwise provided by other applicable acts, the provisions of that other act shall prevail. If not, these regulations shall govern.

Article 5 Unless otherwise provided by the laws of the Ministry of Science and Technology, governmental agencies, or cooperative contracts, the undertaking of industry-academic cooperation projects shall be governed by the following regulations:

1. The full-time (project), part-time, joint appointment research fellows, chair professors, and postdoctoral research fellows may all serve as the principal investigator to consult the entrusting unit pursuant to school-related regulations or apply to undertake the project after winning the tender pursuant to tender regulations.
2. When the entrusting unit consults the full-time (project), part-time, joint appointment research fellows, chair professor, and postdoctoral research fellows directly, such units or preceding research fellows appointed by the unit shall serve as the principal investigator to undertake the project.
3. For letters issued by the entrusting unit to the school directly, the Department of Research forwards it to the relevant department based on the nature of the letter to undertake or not, against comprehensive

consideration over their labor force, equipment, time, and expenses. If the integrated project is required, the Department of Research shall be responsible for its coordination and integration.

4. For principal investigators served by the postdoctoral research fellow of the school, the full-time (project) research fellow of the school shall serve as the co-principal investigator. If the principal investigator resigns during the project implementation period, the co-principal investigator shall serve as the principal investigator.

#### Article 6 Application for Undertaking Industry-Academic Cooperation Projects:

1. When the principal investigator applies to undertake a project pursuant to the preceding article, he/she shall prepare a research proposal and submit it, together with the project budget and contract, to the head of the affiliated unit and the college for approval. The application shall be reviewed by the Accounting Office and the Department of Research and Development. Upon approval by the President, the contract shall be executed in the name of the University with the commissioning entity and co-signed by the principal investigator.
2. Where the total project budget of an industry-academic cooperation project includes a 5% allocation for resource usage fees, such fees shall be distributed in accordance with the “National Central University Guidelines for the Management of Venue and Equipment Revenue and Expenditures.” (This provision shall be abolished effective November 7, 2027.)
3. Associations or academic societies with registered offices located within the University shall execute a written undertaking agreeing to waive any right to apply for or bid on industry-academic cooperation projects in competition with the University.

Article 7 If the principal investigator fails to sign the contract pursuant to the preceding article, thereby affecting the income of the University Endowment Fund, and such circumstance is verified upon investigation, upon confirmation of the investigation results, the case shall be submitted to the President for approval. The principal investigator shall be required to pay 20% of the total project budget as a resource usage fee to the University. Such payment shall not be satisfied by any research project funds or the principal investigator’s personal surplus. In addition, the principal investigator shall be ineligible to apply for the University’s

academic awards for a period of two (2) years.

Article 8 The principal investigator may apply to borrow a bid bond as necessary for the tender of the industry-academic cooperation project. After winning the tender, the correspondent bank of the school may provide the performance bond, alternatively by issuing a written guarantee or by creating a pledge. For a performance bond less than NT\$100,000 and a contract term of less than two years, the later section of the preceding paragraph may not be applicable.

Article 9 The school shall sign the written contract with the cooperative institution to undertake the industry-academic cooperation project with the following matters specified in the contract and based on actual cooperation requirements:

1. The name of the industry-academic cooperation project, cooperation subject, delivery items, and schedule.
2. The budget, resources, and terms of payment are to be provided by the parties to the contract.
3. The rights and obligations of both parties.
4. Where there are research results acquired from the industry-academic cooperation, the attribution and application of research results and revenue shall be specified.
5. The penalty clauses for violations of both parties.
6. When the industry-academic cooperation institution asks the school to guarantee that the authorized technology or other matter is free from infringement to others, the scope of compensation liable to the school for infringement incurred wherefrom shall be specified.
7. If the industry-academic cooperation institution needs to use the name or label of the school or unit subordinated to the school, the method of authorization, reason, and scope shall be specified.
8. The books, journals, instruments, equipment, and remaining budget of such property management and application purchases for the industry-academic cooperation.
9. The avoidance of conflicts of interest and confidentiality of persons related to the technology transfer contract.

Article 10 The industry-academic cooperation project shall have an indirect administrative management fee (hereinafter the “Management Fee”) paid

to the school. The preparation ratio of management fees shall be as follows:

1. The Project of the Ministry of Science and Technology: managed in accordance with regulations of the Ministry of Science and Technology.
2. The project in cooperation with governmental agencies and private entities:
  - (1) Academic research, education, or commissioned training projects: the management fee shall be at least 15% of the total project budget.
  - (2) Technological services: refer to the quality inspection, sales services over the long term, and commissions by governmental agencies or private entities by using the existing equipment and labor force of the school. The management unit shall establish the charge standards for technological services and regulations for instrument management. This shall be implemented after the review of the unit at the college level and submitted to the school for approval.

For quality inspections, sales services over the long term, and commissions by governmental agencies or private entities by using the existing equipment and labor force of the school, no management fees will be charged if the service subject is a unit of the school. If the service subject is a unit outside the school, the management fee shall be at least 25% of the total budget. The surplus of management fees appropriated according to this ratio shall be carried forward to next year for use, and until the relevant instrument or equipment is replaced or transferred to the special account of the project implementation unit for revolving use on the date the service ends.
  - (3) If the ratio of management fees is otherwise provided by a governmental agency, the provisions of that other regulation shall prevail.
3. All types of seminars: in addition to the matching grant of the school, at least a 5% management fee shall be added to all kinds of incomes.
4. Where equipment expenses exceed 30% of the total project budget, or where a single project exceeds NT\$20 million, or under other special circumstances, if the allocation of management fees in accordance with the ratios prescribed herein would hinder project implementation, an

application may be submitted to the President for approval to reduce the management fee.

Article 11 The allocation ratio of management fees:

1. The allocation ratios of project management fees shall be as set out in Appendix Table 1.
2. For the projects specified in this subparagraph, where special circumstances apply, the allocation ratios of management fees among the center, college, and department may be determined through mutual agreement. Where a supporting unit is involved in providing guidance, incubation, or matchmaking services, the allocation of management fees between the supporting unit and the center, college, and department (graduate institute) shall be as set forth in Appendix Table 2.
3. For the projects specified in this subparagraph, where the management fee is set at a rate exceeding 20%, the portion exceeding such rate may be allocated among the center, college, and department through mutual agreement.

When the allocations of management fees of projects are not adequate or insufficient, the surplus by the end of the project shall be appropriated first for the deficit of management fees.

In case the principal investigator fails to complete the project by the deadline, the management fee must be appropriated first before completing the project.

A 50% project management fee from the Ministry of Science and Technology shall be allocated to all units proportionally over the ratio abovementioned at the beginning of the project's implementation and shall be used fully before the end of the project. For unused amounts by the end of the project, the school will collect all remaining amounts. Meanwhile, another 50% will be included in the surplus of the project and 20% of this will be set aside for the surplus of management fees of the school, and the remaining 80% will be transferred to the surplus account of all units proportionally over the ratio aforementioned.

Article 12 The payment request procedures, principles of budget appropriation, and application:

1. After the industry-academic project cooperation contract is concluded, a receipt shall be issued pursuant to the contract (the uniform receipt of the school shall prevail), and a payment request letter shall be prepared. After the trusting unit has appropriated the payment to the appointed account of the school, the responsible unit of the project or

the Department of Research shall notify the principal investigator to start using the budget.

2. To ensure the project is implemented smoothly, the principal investigator may fill in the “Application for the advance of NCU industry-academic cooperation project payment” to advance the project budget after receiving approval for the project (or an effective contract). Additionally, this must be before the budget is appropriated to the appointed account of the school and provided that the advance shall not exceed 50% of the project budget (NT\$5 million). A project of the Ministry of Science and Technology for more than one year shall be calculated according to the project budget of the current year. For special circumstances, this shall be managed upon a special application being approved.
3. Where any advanced funds for any project remains unsettled for more than three (3) months after the expiration of the contract term, the Office of Research and Development shall convene a meeting with the principal investigator, the second-level and first-level units coordinate and resolve the matter.
4. In addition to the allocation of management fees in accordance with article 10 herein, the personnel, equipment, and miscellaneous fees shall be used by the principal investigator pursuant to the contract or relevant regulations. For adjustments or changes of preceding expenses, the budget shall not be used until the contract is amended upon the agreement of both parties in advance.
5. The principal investigator shall manage the contract employment procedures aimed at the manpower as required by the project after the contract is effective and fill the budget allocation table upon the approval of MOST projects, and sign other industry-academic cooperation projects other than MOST. Please refer to the “Outlines for the Management of NCU Industry-Academic Cooperation and Promotion for the Education of Project Personnel” for the contract employment procedures aforementioned.
6. If the project budget is insufficient to support the salary/allowance of the project personnel employed for the industry-academic cooperation project, the hiring unit shall make this up before the deadline. Additionally, the deficit shall be supported in order for the payment to the principal investigator, the surplus of the unit in the secondary level, the unit in the first level, and management fees beyond the deadline.

Regarding the return of an advance, this shall be negotiated by the employment unit, the unit in the secondary level, and the unit in the first level.

For other project members employed under the budget without relevant regulations, this article shall govern.

7. The procurement of the industry-academic cooperation project shall be implemented in accordance with the Government Procurement Act and Procedures for the Procurement of the school, or Procedures for the Procurement of Science and Technology Research Development of the school.

Article 13 Notices for the submission of reports of an industry-academic cooperation project and closure of the project:

1. The principal investigator shall submit the final report, and manage the budget reimbursement and the closure of the project by the deadline set forth in the contract. The Ministry of Science and Technology shall complete within 45 days from the end of the project. The industry-academic cooperation project other than MOST shall be completed no later than 3 months from the expiration of the contract.
2. Unless other provisions are provided by the trusting unit, the overseas travel report for an industry-academic cooperation project, management fees, and the surplus shall be submitted within three months from returning to the country.
3. Except for the number of report copies to be managed in accordance with the contract, additional copies may be printed for the collection of the library of the school.

Article 14 The surplus of an industry-academic cooperation project:

1. Where there is a surplus after the entire industry-academic cooperation project budget is reimbursed and the project closure procedures are completed (except when the surplus is returned upon the request of the trusting unit and paid to the school surplus for amounts less than 10,000), 20% of the balance for budget implementation over 80% (included) shall be used by the school collectively. And 80% shall be included in the surplus account for the revolving use of the principal investigator or project unit.

If the budget implementation is less than 80% of the total project amount, 30% of the balance for budget implementation over 80%

(included) shall be used by the school collectively, and 70% shall be used by the principal investigator or project unit according to the principle above mentioned.

2. After the resignation of a researcher, his/her personal surplus shall be used by the school collectively. After retirement, his/her personal surplus of less than 10,000 (included) shall be included in the school surplus. For amounts over 10,000, 80% shall be used by the school collectively; 20% for the use by the unit of said researcher except when he/she transfers to a project researcher for the school.
3. For other special circumstances, this may be managed with special approval.

Article 15 For income derived from the transfer of research results gained by industry-academic cooperation or patent or technology authorization, the allocation of income or interest after deducting the portion of rewards to the funding agency pursuant to laws or the contract shall be managed in accordance with the regulations governing the management of the research results and promotion of the school.

Article 16 Unless otherwise provided in an industry-academic cooperation contract, the books, journals, instruments, and equipment shall be included in the school property for collective use in accordance with the relevant property management regulations.

Article 17 The technological or administrative personnel of an industry-academic cooperation agency who is qualified to teach may teach classes or direct the graduate student of the school upon the agreement of the school and may collect the hourly pay.

The associate professor or teachers in a level above may also serve the post of his/her expertise or the professional instructor at an industry-academic cooperation agency, provided that his/her part-time service hours and compensation are still subject to part-time service-related regulations, Or, the limiting of relevant rewards shall be managed in accordance with the “Procedures for Handling the Secondment of NCU Teachers”, “Procedures for Handling Part-time Services of NCU Teachers”, and “Regulations Governing the Reward of NCU Teachers for Part-time Services or Secondment to Private Enterprises and Organizations”.

Article 18 The unit of the principal investigator shall measure the conditions before determining whether to accept the industry-academic cooperation project or not.

Article 19 When an industry-academic project requires a matching grant, the school, college, and department shall provide 1/3 grant each; the school and center shall provide 1/2 grant each provided that the grant of the school shall not exceed the school management fees of that project, and which shall be submitted to the principal for approval.  
Each unit shall submit a letter for an explanation when the budget is insufficient in matching the grant.

Article 20 Unless other provisions are provided by the entrusting unit in writing, the supplementary NHI premium derived from the compensation of the project shall be supported by other prepared relevant budgets of the project.

Article 21 The handling of violations or failure to submit reports or closing budgets against the regulations of an industry-academic cooperation project:

1. If the budget reimbursement of the project is not completed for the project by the deadline set forth in article 13 via a notice, this project budget will be frozen and all remaining amounts will be included in the school's surplus.
2. In case the principal investigator of the MOST project fails to submit the report or complete the budget pursuant to the regulations due to personal reasons, resulting in management fees reduced or deducted by MOST, this will be paid by the surplus of the principal investigator. If the principal investigator has no surplus, resigns, or retires, his/her unit shall deduct the money proportionally over the allocation ratio of each college and department (center), and the return method of the principal investigator shall be established by each college and department (center). In case the principal investigator of a non-MOST project fails to submit a report or complete the budget pursuant to regulations due to personal reasons, resulting in deductions, fines of the trusting unit, or litigation fees incurred thereby, the preceding regulations shall prevail.
3. If the principal investigator fails to implement the project pursuant to

the contract resulting in damages suffered by the school, the principal investigator shall be responsible for the damage compensation.

- Article 22 For disputes arising from the budget of an industry-academic cooperation project, this shall be managed in accordance with the “Procedures for the Handling of Disputes Arising from a Reimbursement of NCU Industry-Academic Cooperation Budgets”.
- Article 23 The Department for Research and Development shall summarize the report of the performance of the industry-academic cooperation in a research and development meeting, administrative council meeting, and university council meeting regularly.
- Article 24 Subparagraph 2 of Paragraph 1 of Article 6 of these Regulations shall cease to have effect as of November 7, 2027. As of that date, the said subparagraph shall be abolished, and the validity of the remaining subparagraphs shall not be affected.
- Article 25 These regulations shall be implemented upon approval by the Research and Development Council of the University and subsequent approval by the University Endowment Fund Management Committee; the same procedure shall apply to any amendments.

**Appendix Table 1: Allocation Ratios of Management Fees**

Applicable Period	Project Implementing Unit	University	College / First-Level Administrative Unit	Department	Center
For projects with a commencement date between August 1, 2026 and July 31, 2027, the following allocation ratios shall apply	College / Department (Graduate Institute)	65%	8.1%	26.9%	0%
	University-Affiliated Research Center	65%	0%	5.8%	29.2%
	Functional University-Level Research Center	65%	5.8%	5.8%	23.4%
	Functional College-Level Research Center	65%	8.1%	5.4%	21.5%
	First-Level Administrative Unit	65%	35%	0%	0%

Applicable Period	Project Implementing Unit	University	College / First-Level Administrative Unit	Department	Center
For projects with a commencement date between August 1, 2027 and July 31, 2028, the following allocation ratios shall apply	College / Department (Graduate Institute)	66%	7.8%	26.2%	0%
	University-Affiliated Research Center	66%	0%	5.7%	28.3%
	Functional University-Level Research Center	66%	5.7%	5.7%	22.6%
	Functional College-Level Research Center	66%	7.9%	5.2%	20.9%
	First-Level Administrative Unit	66%	34%	0%	0%

Applicable Period	Project Implementing Unit	University	College / First-Level Administrative Unit	Department	Center
For projects with a commencement date between August 1, 2028 and July 31, 2029, the following allocation ratios shall apply	College / Department (Graduate Institute)	67%	7.6%	25.4%	0%
	University-Affiliated Research Center	67%	0%	5.5%	27.5%
	Functional University-Level Research Center	67%	5.5%	5.5%	22%
	Functional College-Level Research Center	67%	7.6%	5.1%	20.3%
	First-Level Administrative Unit	67%	33%	0%	0%

Applicable Period	Project Implementing Unit	University	College / First-Level Administrative Unit	Department	Center
For projects with a commencement date on or after August 1, 2029, the following allocation ratios shall apply	College / Department (Graduate Institute)	68%	7.4%	24.6%	0%
	University-Affiliated Research Center	68%	0%	5.3%	26.7%
	Functional University-Level Research Center	68%	5.3%	5.3%	21.4%
	Functional College-Level Research Center	68%	7.4%	4.9%	19.7%
	First-Level Administrative Unit	68%	32%	0%	0%

Note:

For projects implemented by research centers, management fees shall additionally be allocated to the principal investigator's primary affiliated college and department (graduate institute or center) in accordance with the ratios set forth above.

**Appendix Table 2: Allocation of Management Fees for Projects Involving Guidance, Incubation, or Matchmaking by a Supporting Unit**

Applicable Period	Project Implementing Unit	University	College / First-Level Administrative Unit	Department	Center	Guidance / Matchmaking Unit
For projects with a commencement date between August 1, 2026 and July 31, 2027, the following allocation ratios shall apply	College / Department (Graduate Institute)	60%	8.1%	26.9%	0%	5%
	University-Affiliated Research Center	60%	0%	5.8%	29.2%	5%
	Functional University-Level Research Center	60%	5.8%	5.8%	23.4%	5%
	Functional College-Level Research Center	60%	8.1%	5.4%	21.5%	5%
	First-Level Administrative Unit	60%	35%	0%	0%	5%

Applicable Period	Project Implementing Unit	University	College / First-Level Administrative Unit	Department	Center	Guidance / Matchmaking Unit
For projects with a commencement date between August 1, 2027 and July 31, 2028, the following allocation ratios shall apply	College / Department (Graduate Institute)	61%	7.8%	26.2%	0%	5%
	University-Affiliated Research Center	61%	0%	5.7%	28.3%	5%
	Functional University-Level Research Center	61%	5.7%	5.7%	22.6%	5%
	Functional College-Level Research Center	61%	7.9%	5.2%	20.9%	5%
	First-Level Administrative Unit	61%	34%	0%	0%	5%

Applicable Period	Project Implementing Unit	University	College / First-Level Administrative Unit	Department	Center	Guidance / Matchmaking Unit
For projects with a commencement date between August 1, 2028 and July 31, 2029, the following allocation ratios shall apply	College / Department (Graduate Institute)	62%	7.6%	25.4%	0%	5%
	University-Affiliated Research Center	62%	0%	5.5%	27.5%	5%
	Functional University-Level Research Center	62%	5.5%	5.5%	22%	5%
	Functional College-Level Research Center	62%	7.6%	5.1%	20.3%	5%
	First-Level Administrative Unit	62%	33%	0%	0%	5%

Applicable Period	Project Implementing Unit	University	College / First-Level Administrative Unit	Department	Center	Guidance / Matchmaking Unit
For projects with a commencement date on or after August 1, 2029, the	College / Department (Graduate Institute)	63%	7.4%	24.6%	0%	5%
	University-Affiliated Research Center	63%	0%	5.3%	26.7%	5%
	Functional University-Level Research Center	63%	5.3%	5.3%	21.4%	5%

following allocation ratios shall apply	Functional Research Center	College-Level	63%	7.4%	4.9%	19.7%	5%
	First-Level Unit	Administrative	63%	32%	0%	0%	5%

Note:

For projects undertaken by research centers, management fees shall also be allocated to the principal investigator's primary affiliation with the college and department (graduate institute or center) in accordance with the ratios set forth above.