

Yuan Ze University Procurement Regulations for Science and Technology Development Program

July 16, 2012, Passed by the 17th Executive Council Meeting of the 2011 Academic Year

March 4, 2015, Amended by the 16th Executive Council Meeting of the 2014 Academic Year

May 3, 2017, Amended by the 18th Executive Council Meeting of the 2016 Academic Year

April 25, 2018, Amended by the 17th Executive Council Meeting of the 2017 Academic Year

October 31, 2018, Amended by the 6th Executive Council Meeting of the 2018 Academic Year

March 11, 2020, Amended by the 17th Executive Council Meeting of the 2019 Academic Year

June 10, 2020, Amended by the 23rd Executive Council Meeting of the 2019 Academic Year

March 31, 2021, Amended by the 16th Executive Council Meeting of the 2020 Academic Year

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October 18, 2023, Amended by the 6th Executive Council Meeting of the 2023 Academic Year

April 10, 2024, Amended by the 16th Executive Council Meeting of the 2023 Academic Year

Article 1. To enhance procurement efficiency and promote scientific and technological research and development, these Guidelines are formulated in accordance with Article 6, Paragraph 4 of the Fundamental Science and Technology Act and the Regulations Governing Procurements for Scientific and Technological Research and Development. All Scientific Research Procurement shall adhere to the principles of fostering technological innovation, applying research outcomes, upholding public interest, and ensuring fairness and reasonableness.

Article 2. The term "Scientific Research Procurement" in these Guidelines refers to procurement activities for goods or services required for scientific and technological research and development projects subsidized, entrusted, or executed under agreements with government agencies, as stipulated in Article 6, Paragraph 4 of the Fundamental Science and Technology Act. If the procurement funding is sourced from scientific and technological research and development budgets and includes corporate matching funds for industry-university cooperative projects, these Guidelines apply. (Ministry of Education-subsidized projects and government-subsidized projects explicitly governed by the Government Procurement Act are excluded.)

Article 3. The term "procurement" in these Guidelines refers to the purchase, manufacture, lease, or commissioning of goods and services.
Goods: All items excluding fresh agricultural and fishery products, including materials, equipment, machinery, and other tangible movable property, rights, or items recognized as goods by the Public Construction Commission of the Executive Yuan.

Services: Professional, technical, information, R&D, operational management, maintenance, training, labor services, and other services recognized by the Public Construction Commission of the Executive Yuan.

For procurements involving elements of engineering, goods, or services, the category with the highest budgetary proportion determines the classification. "Vendors" refer to companies, partnerships, sole proprietorships, and other entities, including individuals, legal persons, organizations, or groups, that are capable of providing engineering services, goods, or labor to various institutions.

Article 4. Procurement methods include self-conducted procurement, general procurement, open tender, and restricted tender. Self-conducted procurement is authorized by the requisitioning unit to conduct procurement independently. General procurement is managed by the Business Management Section of General Affairs Office through telephone-based price comparisons involving at least two vendors or price negotiations with a single vendor. Open tender is publicly inviting bids through announcements. Restricted tender is meeting specific conditions to bypass announcement procedures, with telephone-based price comparisons or bid meetings involving at least two vendors or a single vendor.

Article 5. Scope of Application:

1. All scientific research procurements shall be conducted in accordance with these Guidelines. Matters not specified herein may be handled with reference to the Government Procurement Act, other applicable laws, or the YZU Regulations for the Purchase or Lease of Property, the Retention or Employment of Services.
2. The classification of procurement as scientific research procurement is determined by the subsidy agreement. Disputes shall be resolved by the subsidizing agency.
3. Ministry of Education-subsidized projects shall follow the "YZU Regulations for the Purchase or Lease of Property, the Retention or Employment of Services" for government-subsidized procurement. Non-publicly subsidized projects shall follow the same regulations for non-government-subsidized procurement.

Article 6. Division of Responsibilities:

1. Business Management Section of the General Affairs Office: Responsible for procurement as outlined in Article 3 of these Guidelines, excluding cases authorized for self-conducted procurement by individual units.

2. General Accounting Office: Oversees administrative supervision and budget review for procurement-related matters.
3. Finance and Property Management Section of the General Affairs Office: Handles the classification of procurement-related assets, property verification, registration, and inventory.
4. Office of Research and Development: Reviews whether the project qualifies as scientific research procurement.
5. Requisitioning Units: Responsible for planning, applying for, inspecting, and managing property acquired through procurement.

Article 7. Procedures:

1. For procurement amounts under NT\$70,000, the requisitioning unit is authorized to conduct procurement independently. (Refer to the procurement process detailed in Appendix 1.)
2. For procurement amounts of NT\$70,000 to NT\$100,000, classified as general procurement: The requisitioning unit shall input procurement data into the Budget and Accounting System and complete the "Project Procurement Data Transmission Form". The Business Management Section shall conduct price comparisons with at least two vendors or negotiate with one vendor via telephone. (Refer to the procurement process detailed in Appendix 2.)
3. For procurement amounts of NT\$100,000 to NT\$300,000, classified as general procurement: The requisitioning unit shall input procurement data into the Budget and Accounting System and complete the "Important Equipment (Bulk Items) Purchase Requisition". The form must be approved by the President. The Business Management Section shall conduct price comparisons with at least two vendors or negotiate with one vendor via telephone. (Refer to the procurement process detailed in Appendix 3.)
4. For procurement amounts exceeding NT\$300,000, open tendering is required: The requisitioning unit shall input procurement data into the Budget and Accounting System and complete the "Important Equipment (Bulk Items) Purchase Requisition". The form must be approved by the President. Tendering information shall be announced on the university's internal website and the Taiwan Buying Network. Bid meetings shall be held. (Refer to the procurement process detailed in Appendix 4.)
5. Conditions and Procedures for Restricted Tender:
 - (1) For procurement amounts exceeding NT\$100,000 and meeting any of the following conditions, a "Yuan Ze University Project Restricted Tender Application Form" must be completed or a specific signed

statement provided. Restricted tender may only proceed after obtaining the President's approval:

- a. If the public tender results in no bids or no qualified bids, provided the original tender content and conditions remain substantially unchanged.
- b. For exclusive rights, sole manufacturing or supply, artworks, confidential consultations, or when no suitable alternative exists.
- c. In the event of unforeseen emergencies, making public or selective tender infeasible and where immediate procurement is essential.
- d. For subsequent maintenance, supply of spare parts, replacement, or expansion of existing procurement, where compatibility or interoperability necessitates procurement from the original supplier.
- e. For prototypes or items manufactured or supplied for the first time, under research, experimental, or developmental purposes.
- f. Within the scope of the original tender objectives, when unforeseen circumstances require additional works outside the original contract. Procurement through separate tendering would pose significant inconvenience or technical or economic challenges, and it is necessary to engage the original contractor. The total additional procurement must not exceed 50% of the original contract value.
- g. For the expansion of original procurement, provided the expansion period, amount, or quantity was specified in the original tender announcement and documents.
- h. For procurement of goods in centralized trading or open competitive bidding markets.
- i. For commissioning professional, technical, or information services, where public, objective evaluation determines a winner.
- j. For design competitions conducted via public procedures, where public, objective evaluation determines a winner.
- k. For commissioning scientific, technological introductions, administrative or academic research and development by natural persons, legal entities, or publicly evaluated and selected academic or non-profit organizations recognized as leading in their respective professional fields.
- l. To meet specific characteristics, special functions, or other professional needs of financial or service items related to subsidized or entrusted research or development plans, or as approved by the head of the subsidizing, commissioning agency, or authorized

personnel.

m. Other cases approved by the head of the subsidizing agency or authorized personnel.

(2) Requisitioning units must complete forms within the Budget and Accounting System and prepare the "Important Equipment (Bulk Items) Purchase Requisition". The form must be approved by the President. For procurement amounts under NT\$300,000, the Business Management Section procurement personnel shall handle price comparisons with at least two vendors or negotiate with a single vendor by telephone (detailed procurement process in Appendix 3). For procurement amounts exceeding NT\$300,000, a bid-opening meeting must be convened (detailed procurement process in Appendix 4).

6. For any single procurement or cumulative procurement projects where the amount reaches or exceeds NT\$1,000,000, prior to initiating the procurement process, the requisitioning unit must first convene a Specification Review Meeting to confirm the specifications. The meeting minutes, along with other procurement-related documents, must be submitted to the Business Management Section for procurement processing. The Specification Review Meeting must include at least three participants with specialized knowledge relevant to the procurement project. The minutes of the Specification Review Meeting must clearly indicate the job titles or professional expertise of the committee members.
7. For procurement projects exceeding NT\$2,000,000 that adopt the two-stage tender method (where the qualifications and specifications of bidders are first reviewed before opening price bids), the following requirements apply: The requisitioning unit must convene a Specification Review Meeting to confirm the specifications before initiating the procurement process. The meeting minutes, along with other procurement-related documents, must be submitted to the Business Management Section for procurement processing. The Specification Review Meeting must include at least three participants with specialized knowledge relevant to the procurement project. The minutes must clearly indicate the job titles or professional expertise of the committee members. After the tender process, a Specification Review Committee must be formed to evaluate the specifications submitted by bidders and select qualified bidders to participate in the price bidding. The Specification Review Committee must consist of at least five members with specialized knowledge relevant to the procurement project, with at least one-third of the members being external experts or scholars.

8. Procurement Base Price: The requisitioning unit must prepare a Base Price Recommendation Form, detailing the drawings, specifications, standard contract templates, cost considerations, market conditions, and government bid award data. The base price shall be determined by the authorized supervisor. The base price supervisor, based on the amount and tiered authorization, shall be approved by the president or their authorized personnel (vice president, Dean of General Affairs Office). If the base price supervisor is on leave, the supervisor's deputy will determine the price. The authorization model for base price determination is as follows:

Procurement Categories for Open Tenders or Open Price Negotiations	Bid Opening Chairperson	Requisitioning Unit Recommendation	Authorized Approver for Base Price	Authorized Proxy for Approval
NT\$100,000 ≤ Amount < NT\$1,500,000	Procurement Supervisor	Requisitioning Unit	Dean of General Affairs Office	Proxy (not the Bid Opening Chairperson)
NT\$1,500,000 ≤ Amount < NT\$10,000,000			Vice President	
Amount ≥ NT\$10,000,000			President	

9. Bid Announcement and Tender Period:

- (1) For procurement conducted through open tender, the Business Management Section shall publish tender announcements on the university's internal website and the Taiwan Buying Network. Any amendments to the announcement must also be published.
- (2) The standard tender period should align with the guidelines specified in the Government Procurement Act.

10. Principles of Awarding Contracts:

- (1) For procurements with a set base price, the contract shall be awarded to the bidder who meets the requirements in the tender documents and offers the lowest bid within the base price.
- (2) For procurements without a set base price, the contract shall be awarded to the bidder who meets the requirements in the tender documents, offers a reasonable bid, and falls within the budget.
- (3) The aforementioned principles must be explicitly stated in the tender documents.

11. Bid Bonds and Performance Guarantees:

The university may require suppliers to submit bid bonds, performance guarantees, or other forms of security, in accordance with the provisions of the Government Procurement Act. Conditions for forfeiture or return of such bonds or guarantees shall also follow the relevant regulations.

Article 8. For procurement with an amount exceeding NT\$70,000 under general procurement cases: Quotations from at least three vendors must be obtained and recorded. For cases involving exclusive manufacturing or supply, the procurement unit must provide proof of exclusivity and a quotation record from the sole vendor. The results of the quotations must be submitted for approval according to the established procurement procedures.

Article 9. Requisitioning units applying for the procurement of goods or services must complete and submit written procurement documents (as detailed in Appendix 5). These documents must be reviewed and verified by the head of the requisitioning unit before proceeding according to the operational procedures outlined in Article 7 of these guidelines.

Article 10. Requisitioning units are prohibited from attempting to circumvent the application of these guidelines by dividing procurement into smaller transactions. Division of procurement into smaller parts is not considered a circumvention when conducted based on: Different subject matters, Separate construction or supply locations, Distinct demand conditions, or Specialized items managed by different industries or vendors.

Article 11. When public or restricted tenders require a bid opening meeting: The Vice Dean of General Affairs shall act as the chairperson of the meeting. Attendees must include representatives from the requisitioning unit and the procurement officer(s) from the Business Management Section. For procurement cases with an amount exceeding NT\$1,000,000, the General Accounting Office must assign personnel to supervise the process.

Article 12. Equipment and Property Acceptance Procedures upon receiving equipment or property:

1. The requisitioning unit must complete a written “Yuan Ze University Record for Initial Inspection and Acceptance of Equipment”. The head of the requisitioning unit shall act as the primary examiner. The Finance and Property Management Section will conduct a joint inspection, and the General Accounting Office will oversee the acceptance process. For

procurement projects exceeding NT\$1,000,000, the Director of General Accounting Office must attend in person or assign a deputy to participate.

2. If the initial acceptance fails, in addition to the original “Yuan Ze University Record for Initial Inspection and Acceptance of Equipment”, the requisitioning unit must provide a “Yuan Ze University Record for Equipment Re-inspection” to complete the acceptance procedure.
3. For high-capacity electrical equipment or assets requiring specific power and water systems, the Construction Maintenance Section and the Environmental Protection and Occupational Safety and Health Center must conduct an inspection to ensure compliance with safety regulations before proceeding with property acceptance.
4. The requisitioning unit must upload the Initial/Re-inspection Records to the Budget and Accounting System as supporting documents for closing the case. Complete the acceptance fields in the system and submit them to the Finance and Property Management Section for record-keeping. Obtain final approval from the Dean of General Affairs and oversight from the Director of General Accounting Office to conclude the acceptance process. The Finance and Property Management Section shall manage the registration of property and maintain inventory records.

Article 13. All university personnel are strictly prohibited from engaging in procurement activities for personal gain, corruption, or bribery, regardless of the monetary value involved. Personnel must fulfill their duties with integrity and self-discipline. If any violation is confirmed, the following measures will apply: Staff and technical employees: Disciplinary actions shall be taken by the relevant requisitioning unit supervisor or the authority responsible, in accordance with the “YZU Regulations for Staff Reward And Punishment”. Faculty members: Actions shall be taken in accordance with the Teachers Act. Any act that compromises the university’s interests or violates current laws will be referred for legal action.

Article 14. Conflict of Interest Avoidance:

1. Personnel involved in scientific research procurement must recuse themselves if the matter involves the interests of themselves, their spouse, or relatives within the third degree of kinship.
2. The personnel responsible for handling scientific research procurement, as referred to in the previous paragraph, include the requisitioner, project director, supervisor of the requisitioning unit, members of the review

committee, procurement handling personnel, and supervisors.

3. University representatives are prohibited from serving as the responsible person, partner, or representative of a supplier.
4. The university and suppliers must not be affiliated enterprises or subsidiaries of the same parent company.
5. Exceptions to the above provisions may be granted if deemed necessary for technological advancement, innovation in research and development, fair competition, or public interest. Such exceptions must be approved by the funding agency, commissioning agency, or the competent authority.
6. When an exception is granted, the relationship between the personnel and the supplier, as well as the reasons for the exception, must be publicly disclosed.

Article 15. Dispute Resolution:

1. The university must appropriately address any objections raised by suppliers within 15 days of receiving such objections and notify the supplier of the outcome in writing.
2. Disputes between the university and suppliers must be resolved in accordance with applicable laws and contractual terms, ensuring consideration of public interest and fairness.
3. In the event of litigation arising from disputes, the governing law shall be the laws of the Republic of China (Taiwan), and the jurisdiction for the first trial shall be the local court where the university is located.

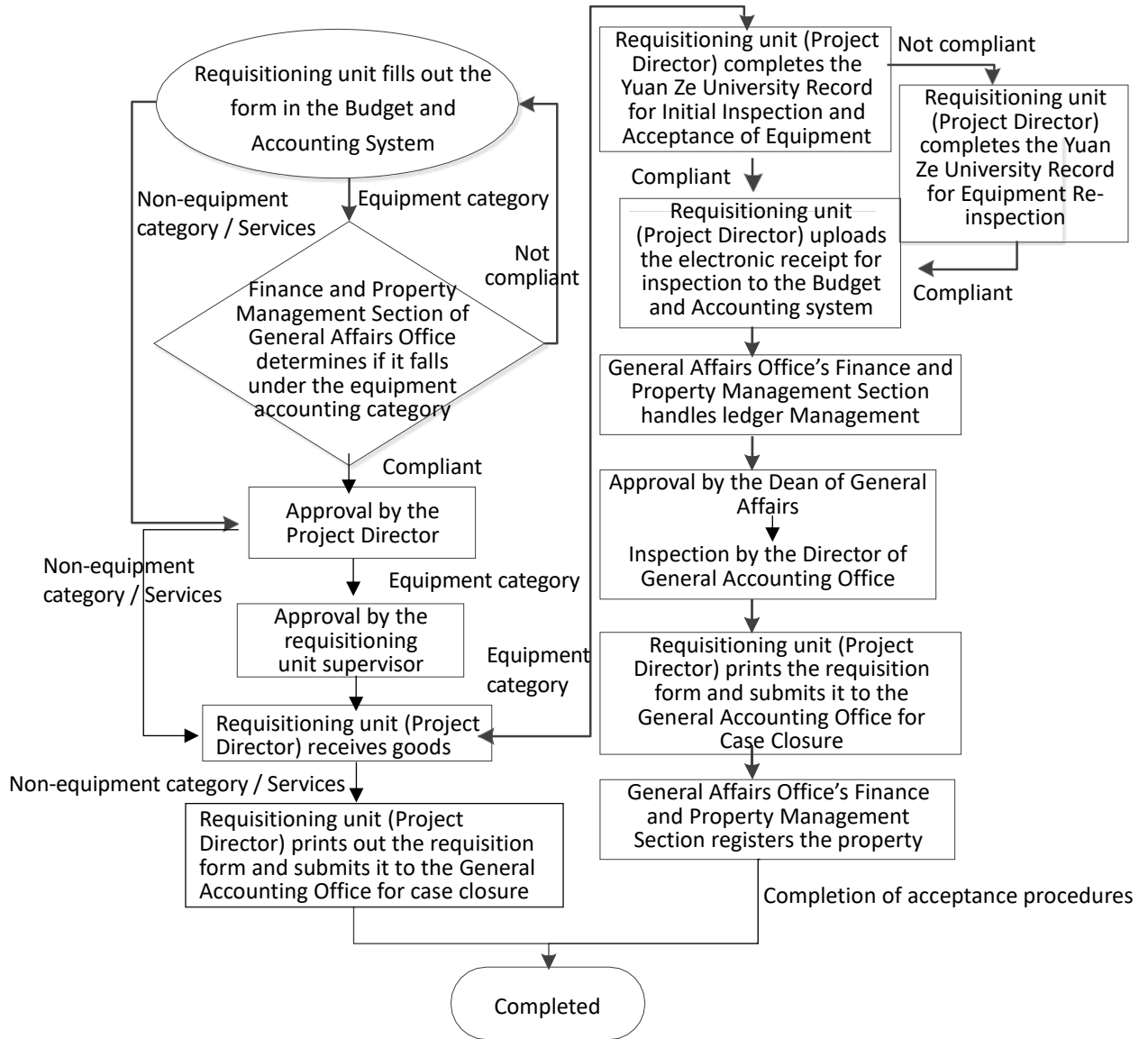
Article 16. These Regulations shall take effect upon approval by the Executive Council Meeting and subsequent promulgation. Amendments shall follow the same procedure.

[In case of any discrepancy between the Chinese and English versions, the Chinese version shall prevail.](#)

Appendix 1. Flowchart for Self-conducted Procurement

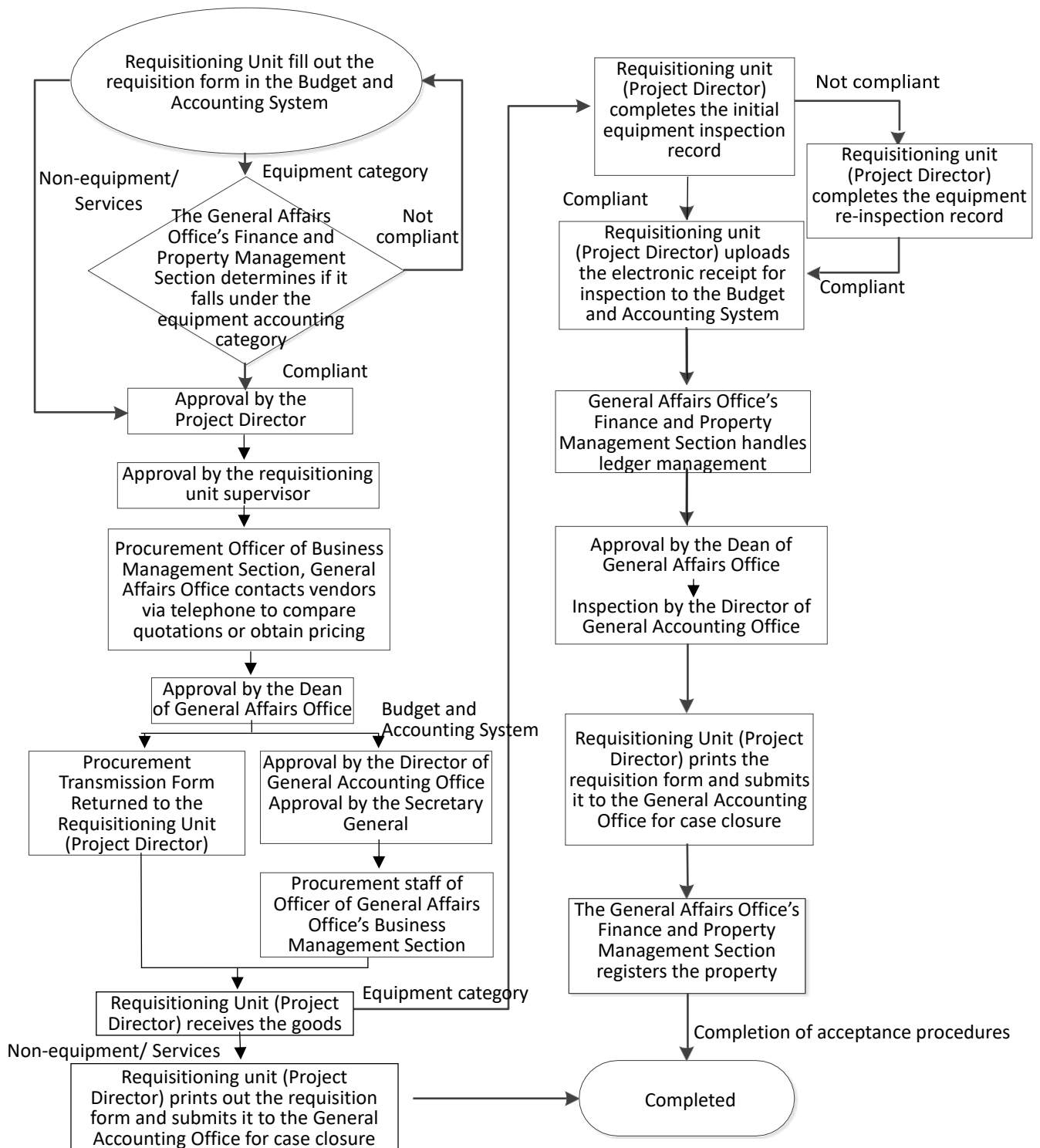
Applicable Conditions:

1. Procurement cases with an amount below NT\$70,000.
2. A formal proposal approved by the President authorizing self-conducted procurement.



Appendix 2: Flowchart for General Procurement Process

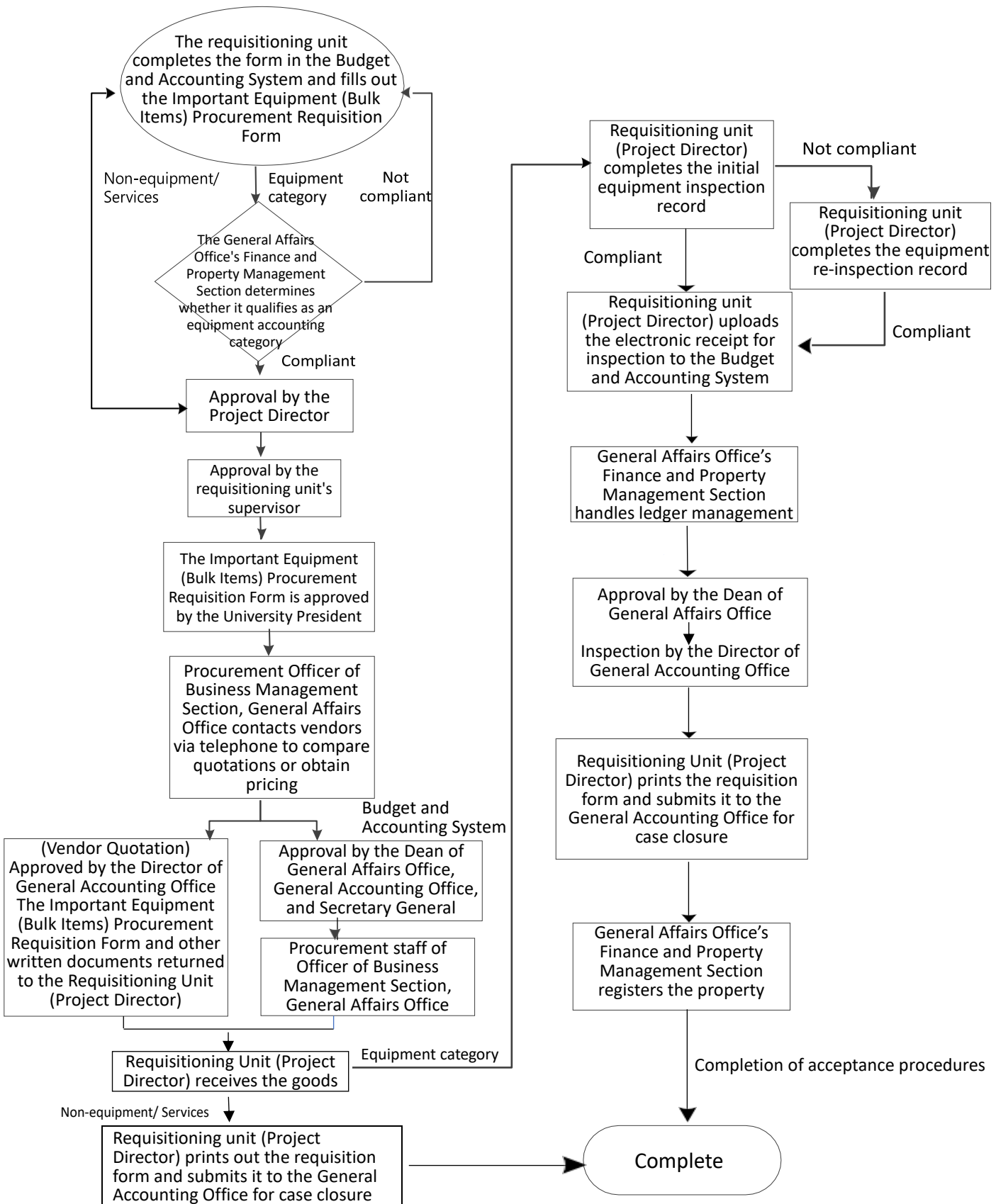
Applicable to: Procurement cases exceeding NT\$70,000 but less than NT\$100,000.



Appendix 3. Flowchart for General Procurement/ Restricted Tender

Applicable Conditions:

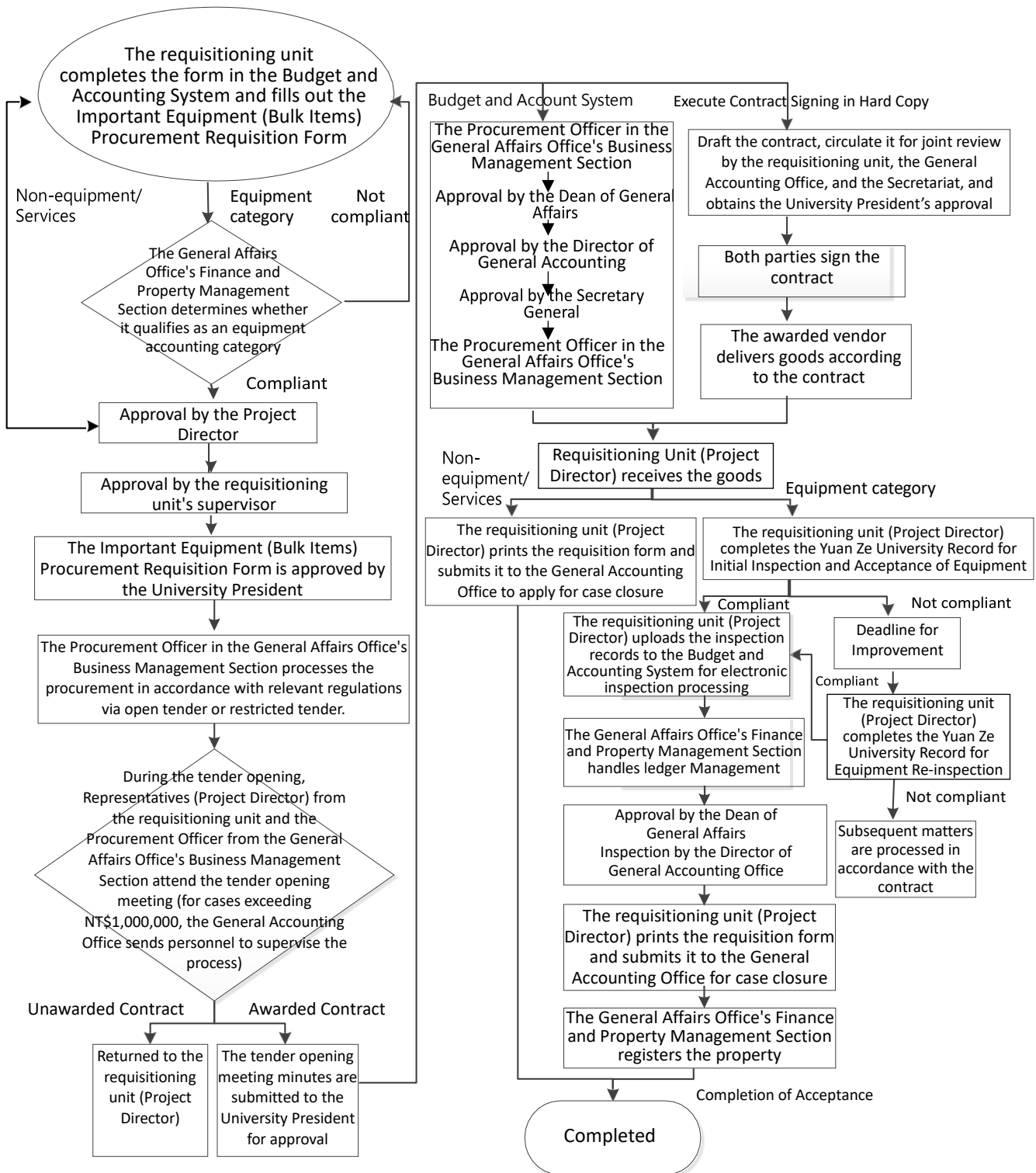
1. General Procurement- Procurement cases exceeding NT\$100,000 but less than NT\$300,000.
2. Restricted Tender- Procurement cases exceeding NT\$100,000 but less than NT\$300,000.



Appendix 4. Flowchart for Open Tender/Restricted Tender

Applicable to:

1. Open tender (above NT\$300,000) (announced on the university's internal website and the Taiwan Buying Network).
2. Restricted tender (above NT\$300,000) (not subject to announcement procedures).



Appendix 5.

Scientific Research Procurement: Required Written Documents for Submission

Amount (NTD)	Procurement Method	Required Documents
Above NT\$70,000 but under NT\$100,000	General Procurement	<ol style="list-style-type: none"> 1. Procurement Data Transmission Form 2. Yuan Ze University Water and Electricity Requirements Form for Equipment Procurement (Equipment Category) 3. Quotations from Three Vendors 4. Project Approval List
	General Procurement (Single Vendor Negotiation)	<ol style="list-style-type: none"> 1. Procurement Data Transmission Form 2. Yuan Ze University Water and Electricity Requirements Form for Equipment Procurement (Equipment Category) 3. Sole Source Certificate or Official Approval 4. Vendor Quotation 5. Project Approval List
Above NT\$100,000 but under NT\$300,000	General Procurement	<ol style="list-style-type: none"> 1. Yuan Ze University Important Equipment (Bulk Items) Purchase Requisition 2. Yuan Ze University Water and Electricity Requirements Form for Equipment Procurement (Equipment Category) 3. Quotations from Three Vendors 4. Project Approval List
	Restricted Tender	<ol style="list-style-type: none"> 1. Yuan Ze University Important Equipment (Bulk Items) Purchase Requisition 2. Yuan Ze University Water and Electricity Requirements Form for Equipment Procurement (Equipment Category) 3. Sole Source Certification (Restricted Tender Clause 2) or other supporting documentation (for other Restricted Tender clauses) 4. Vendor Quotation 5. Yuan Ze University Project Plan Restricted Tender Application Form 6. Project Approval List
Above NT\$300,000 but under NT\$1,000,000	Public Tender (Including Multi-Stage Tender)	<ol style="list-style-type: none"> 1. Yuan Ze University Important Equipment (Bulk Items) Purchase Requisition 2. Yuan Ze University Water and Electricity Requirements Form for Equipment Procurement (Equipment Category) 3. Specification Sheet 4. Project Approval List 5. Summary Table of Tendering/Negotiation and Price Comparison Requirements
	Restricted Tender	<ol style="list-style-type: none"> 1. Yuan Ze University Important Equipment (Bulk

Amount (NTD)	Procurement Method	Required Documents
		<ul style="list-style-type: none"> Items) Purchase Requisition 2. Yuan Ze University Water and Electricity Requirements Form for Equipment Procurement (Equipment Category) 3. Sole Source Certification (Restricted Tender Clause 2) or other supporting documentation (for other Restricted Tender clauses) 4. Vendor Quotation 5. Yuan Ze University Project Plan Restricted Tender Application Form 6. Project Approval List 7. Summary Table of Tendering/Negotiation and Price Comparison Requirements
Above NT\$1,000,000	Public Tender (Including Multi-Stage Tender)	<ul style="list-style-type: none"> 1. Yuan Ze University Important Equipment (Bulk Items) Purchase Requisition 2. Yuan Ze University Water and Electricity Requirements Form for Equipment Procurement (Equipment Category) 3. Specification Sheet 4. Specification Review Meeting Minutes 5. Project Approval List 6. Summary Table of Tendering/Negotiation and Price Comparison Requirements
	Restricted Tender	<ul style="list-style-type: none"> 1. Yuan Ze University Important Equipment (Bulk Items) Purchase Requisition 2. Yuan Ze University Water and Electricity Requirements Form for Equipment Procurement (Equipment Category) 3. Sole Source Certification (Restricted Tender Clause 2) or other supporting documentation (for other Restricted Tender clauses) 4. Vendor Quotation 5. Yuan Ze University Project Plan Restricted Tender Application Form 6. Specification Review Meeting Minutes 7. Project Approval List 8. Summary Table of Tendering/Negotiation and Price Comparison Requirements