

Document of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences

SYF ZL [2015]No. 1

Notice of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Printing and Issuing the *Regulations on Horizontal Project Management of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (Revised)*

All units (department) of the SIAT:

The *Regulations on Industrial Project Management of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* (revised) has been deliberated and approved by the first Institute Administrative Affairs Meeting in 2015. It is hereby printed and distributed, and the relevant units are requested to comply with it.

This system shall be implemented from the date of issuance, and the previously issued *Regulations on Industrial Project Management of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* (SYF ZI [2014] No. 1) shall be abolished simultaneously.

Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences

May 29, 2015

Regulations on Horizontal Project Management of Shenzhen

Institute of Advanced Technology, Chinese Academy of Sciences

Chapter 1 General

Article 1 In order to adhere to the orientation of the Industrial Research Institute, encourage and protect the enthusiasm of scientific researchers for horizontal projects, and standardize the management of Industrial projects of the Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), clarify the job responsibilities of relevant functional departments, research units, and scientific research personnel in the SIAT, and ensure the smooth completion of horizontal projects, these Regulations are hereby formulated in accordance with relevant national laws, relevant management systems of the Chinese Academy of Sciences, relevant management regulations of Shenzhen, and advanced management experience of international achievement transformation.

Article 2 The horizontal projects of the SIAT include the following types of projects:

(I) Projects entrusted by enterprises, public institutions, social organizations and social personages to the SIAT or completed by both parties in the form of self-financing and contract, including projects such as technology development, technical consultation, technical services, joint laboratories of enterprises and popularization and application of scientific and technological achievements;

(II) The SIAT undertakes engineering and technical service projects commissioned by government departments through bidding;

(III) Industry university research projects sponsored by the government, with enterprises as the main applicants and the participation of the SIAT;

(IV) Government funded projects for the construction of innovative carriers for enterprise operation, industrial bases, and exhibitions in the SIAT.

Article 3 The SIAT is the main body of responsibility for horizontal project management.

Article 4 The project leader shall be directly responsible for the implementation of the project, ensure that the project is executed in accordance with the contract, have the right to propose the expenditure of relevant funds and the arrangement of work in accordance with the contract offer and the relevant provisions of the SIAT, ensure the authenticity and standardization of the expenditure of project funds, assume corresponding responsibility for the authenticity of scientific research achievements, and consciously accept supervision and management at all levels.

The research unit (institute, center, and office) is the implementation unit of Industrial project management, which has the power and responsibility to implement and supervise the Industrial project, and performs the audit responsibility for each link of project process management.

The Industrial Development and Resources Department (Development Department) is the competent department of Industrial projects authorized by the SIAT, which is responsible for the management of horizontal projects of the whole institute. The Scientific Research and Public Service for Science and Technology Department (Department of Science & Technology Development), the Public Service and Finance Department (Public Finance Department), the Human Resources and Education Department (Personnel and Education Department) and other departments coordinate the supervision and management of the project according to their respective department of labor.

Chapter 2 Horizontal Project Contract Management

Article 5 Industrial projects of the SIAT must be bound by contracts (including agreements). All contracts must comply with the provisions of the *Contract Law of the People's Republic of China*. The terms contained in the contracts must specify the partners, cooperative personnel, tasks, funding allocation, and ownership and disposal of intellectual property rights. In principle, the relevant contract models provided by the SIAT should be used, or the relevant contract models of the Ministry of Science and Technology and the Chinese Academy of Sciences can be referred to.

Article 6 Before signing the project contract, the project leader must understand the legal personality, credit status and performance ability of the principal and the cooperative unit, evaluate the ability of the research unit and team of the SIAT to undertake the project, and work out the relevant contract with the Development Division.

Article 7 The contracts for the items specified in Clauses 1 and 2 of Article 2 of these Regulations shall conform to the normative requirements for the recognition of tax exemption for technology contracts. After the contract is signed, the project leader shall cooperate with the Development Department to handle the confirmation of tax exemption for the technology contract.

Article 8 The Development Department is responsible for the review of Industrial contracts, and puts forward review opinions on the feasibility of such projects, the credit of the principal, the conditions and ability of the SIAT to undertake such projects, the undertaking of risk responsibilities, and the terms of breach of contract. The Department of Science & Technology Development is responsible for putting forward review opinions on the terms involving the ownership and sharing of achievements and intellectual property rights in the contract terms.

Article 9 For the projects in accordance with Clauses 1 and 2 of Article 2 of these Regulations, the projects with the contract amount less than RMB 1 million (including RMB 1 million) shall be examined and approved by the Development Department; and the projects with the contract amount more than RMB 1 million shall be submitted to the director in charge for examination and approval after being examined by the Development Department.

Article 10 After formal signing of the contract, the project leader shall timely submit the original of the project contract (two sets) and other relevant materials to the Development Department or the Department of Science & Technology Development for project approval. The Development Department or the Department of Science & Technology Development shall confirm the project approval, include it in the ARP statistics and complete the pre-filing and filing of the archives according to the signed original of the contract, so as to facilitate the supervision of the contract execution.

Article 11 The ownership of scientific research achievements not specifically stipulated in the horizontal project contract shall, in principle, be owned by the SIAT.

Chapter 3 Horizontal Project Funds Management

Article 12 Industrial project funds are integrated into the unified financial management of the SIAT and used by various research units. After drawing the development fund of the SIAT and the reward fee of the project team, priority should be given to ensuring the use of the funds actually needed for the development of horizontal projects.

Article 13 The project leader shall fill in the instructions for the use of funds (project budget) in time after the establishment of the Industrial project, and the project funds can be used only after the review of the research unit and the approval of the Development Department and the Department of Science & Technology Development; and the Public Finance Department is responsible for establishing the fund account with the project as the unit, implementing the full budget management, process management and fund supervision, so as to ensure use of funds as ear-marked, complete procedures, clear accounts, and complete original documents. Where the account of the Industrial project needs to be adjusted due to special reasons, the Public Finance Department, the Development Department, the project leader and the research unit must fully communicate to ensure the development of the project.

Chapter 4 Horizontal Project Process Management

Article 14 In accordance with Clause 3 of Article 2 of these Regulations, the Development Department shall be responsible for organizing and coordinating, including the examination and approval of cooperation agreements and the filing of project application materials. After obtaining government approval and funding, the project will be initiated within the institute by the Department of Science & Technology Development. In compliance with Clause 4 of Article 2 of these Regulations, the Development Department shall be responsible for the organization, coordination and implementation.

Article 15 The whole process management shall be implemented for horizontal projects, and the whole process management and annual assessment shall be coordinated by the Development Department and the Department of Science & Technology Development in accordance with the contract offer. The regular and irregular inspections are conducted twice a year (June and December) in the form of spot check, report and review; and the irregular inspection is the daily follow-up and management of key projects by the Development Division. During the annual assessment, the project leader and the research unit shall submit the project progress report as the assessment basis.

Article 16 The project leader shall independently organize the implementation of the project in accordance with the contract offer under the framework of these Regulations, and the signed horizontal project contract offer shall not be adjusted in principle. Where it is necessary to change the project objectives, research and development contents, project progress and implementation period, main participants, cooperative units and other major matters under special circumstances, the project leader and the research unit shall submit a written application to the Development Department, and the Development Department shall assist the research unit to perform the change procedures in accordance with the management regulations and contract requirements after review.

Article 17 The project leader shall apply for final acceptance after the completion of the project and submit the final report or acceptance report. The Development Department shall coordinate with the Department of Science & Technology Development to conclude the project, and the Public Finance Department shall be responsible for the final accounts of the project funds.

Article 18 For Industrial projects with confidentiality requirements, project personnel should strictly abide by the *Law of the People's Republic of China on Guarding State Secrets* and contract requirements, strictly fulfill corresponding confidentiality obligations and assume corresponding confidentiality responsibilities, to prevent leakage incidents from occurring.

Article 19 Before publishing dissertations, exhibition of achievements, product demonstration and appraisal of achievements, the project leader should take protective

measures such as patent application or copyright registration of computer software to ensure the security of intellectual property rights of the SIAT and partners.

Article 20 After the conclusion of the project, the project leader shall submit the relevant scientific research data, charts, photographs, images and other materials formed in the course of the project research, as well as the identification materials, to the Development Department for filing.

Article 21 The Development Department should strengthen services and management for key Industrial projects, mainly including industrial innovation platforms and enterprise joint laboratories jointly built by the SIAT, local governments, and enterprises, projects with a contract amount of more than RMB 500,000 that comply with Article 2 (1) and (2) of these Regulations, projects with a contract income of more than RMB 1 million that comply with Article 2 (3) and (4) of these Regulations, as well as other key horizontal projects assigned by the leaders of the SIAT.

Chapter 5 Horizontal Project Assessment and Rewards and Punishments

Article 22 The SIAT encourages employees to actively participate in the pursuit and implementation of horizontal projects. All horizontal projects established in the SIAT shall be assessed and managed in accordance with Article 15 of Chapter 4 of these Regulations, and the Industrial performance of project leaders and research units shall be included in the assessment as the basis for project awards, promotion of professional and technical titles, year-end performance assessment, evaluation and award reporting. The amount received for the items in Clauses 1 and 2 of Article 2 of these Regulations shall be included in the horizontal performance of the research unit by 1.5 times, and the project bonus shall be accrued; the amount received for the items in Clauses 3 and 4 shall be included in the horizontal performance by actual amount, but the project bonus shall not be accrued.

Article 23 For the patents and various project awards obtained by horizontal projects, the SIAT will award the scientific research team according to relevant regulations, and record the scientific research achievements of the project completers, and further support the scientific research work of the research unit in accordance with the relevant systems of the institute.

Article 24 After the project funds in accordance with Clause 1 and 2 of Article 2 of these Regulations are received, the project leader shall declare, and after the approval of the research unit, the Development Department and the Personnel and Education Department, 10% of the actual amount received (the balance after deducting the funds allocated and the equipment purchased on behalf of others) shall be rewarded. The project leader shall distribute the reward amount according to the progress of the project and the actual contribution of the project team members. The departing project members shall not participate in the reward distribution. The last month of each quarter is the time for unified declaration and cashing of the reward.

Article 25 For projects that meet the requirements of Clauses 1 and 2 of Article 2 of these Regulations, 1% of the reward quota may be withdrawn, which shall be used by the Development Department to support the reward for

teams and individuals (including technology transfer and industrialization teams and individuals of institutes, institutes and centers) who have made contributions to industrialization and technology transfer, and the reward shall be withdrawn quarterly, with 70% of the reward quota issued quarterly. The remaining 30% of the quota will be issued at the end of the year.

Article 26 The project team is encouraged to save horizontal project funds, and the funds saved after the completion of the project shall be disposed of by the SIAT according to the needs of development and relevant systems.

Article 27 Where the contract is breached or the project cannot be completed due to the personal reasons of the project leader, the project implementation research unit shall submit a written application for termination of the project to the Development Department in a timely manner. After review and approval, it is necessary to negotiate with the partner to sign an agreement to suspend the cooperation, or the partner shall issue a certificate to approve the termination of the project, and the project leader and the research unit shall bear the corresponding responsibilities for dealing with the follow-up matters of the termination of the contract.

Where losses are caused to the reputation and interests of the SIAT, the SIAT shall investigate and punish the responsible person according to the specific circumstances.

Chapter VI Bylaw

Article 28 The Development Department shall be responsible for the interpretation of these Regulations and the formulation of the implementation process according to the actual needs.

Article 29 These Regulations shall be implemented as of the date of promulgation, and the original *Provisions of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on the Management of Horizontal Scientific Research Projects (Trial Implementation)* and the original *Implementation Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for Rewards for Industrial Cooperation Projects* shall be repealed simultaneously.

Public Finance Department of Shenzhen Institute of Advanced Technology,
Chinese Academy of Sciences

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