

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

SYKZI [2016] No. 4

Notice of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Printing and Distributing the *Management Measures for Major Scientific Research Instrument Development Projects of the National Natural Science Foundation of China (Trial) and Other Four Management Measures*

All units (department) of the SIAT:

In order to further standardize the management of SIAT for major scientific research instrument development projects of the National Natural Science Foundation of China, and standardize the outsourcing management of scientific research project tasks, standardize the principles of vertical scientific research project declaration, to ensure the smooth implementation

of the project, the *Management Measures for Major Scientific Research Instrument Development Projects of the National Natural Science Foundation of China (Trial)*, *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences of Funds for Major Scientific Research Instrument Development Projects of the National Natural Science Foundation of China (Trial)* are hereby formulated, and the *Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Task Outsourcing of Scientific Research Project* and *Management Measure of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Vertical Scientific Research Projects* are revised. It is deliberated and approved by the 4th Institute Administrative Affairs Meeting in 2015 and are hereby issued for implementation. Please comply and execute accordingly.

The original *Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Task Outsourcing of Scientific Research Project* (SKY ZI [2014] No. 4), and the *Management Measure of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Vertical Scientific Research Projects* (SYK ZI [2014] No. 4) shall be repealed simultaneously from the date of issuance.

Shenzhen Institute of Advanced
Technology, Chinese Academy of
Sciences

February 23, 2016

**Management Measures of Shenzhen Institute of Advanced
Technology, Chinese Academy of Sciences for Major Scientific
Research Instrument Development Projects of the National Natural
Science Foundation of China (Trial)**

Chapter 1 General

Article 1 In order to standardize the management of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for major scientific research instrument development projects (recommended by the department) of the National Natural Science Foundation of China (major instrument project) of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), to ensure the smooth completion of the projects on time and in good quality, and to ensure the standardization and efficiency of the use of funds, according to the relevant regulations of the National Natural Science Foundation of China and in combination with the actual management of major instrument projects in the institute, these Measures are hereby formulated.

Chapter 2 Management responsibilities

Article 2 SIAT is the leading unit and the specific implementation unit of the project, and is responsible for the specific implementation of the project and the realization of the overall objectives. SIAT's main responsibilities include:

(I) Responsible for the feasibility analysis of the project based on the research and analysis of scientific research needs, users, market, technology and other conditions, putting forward project proposals to the organization department, and designing the project implementation plan;

(II) Jointly establishing a project team including the intersection of science and engineering technology, and signing an agreement with the project cooperation unit and its scientific research backbone to clarify the rights and responsibilities of all parties and their tasks and responsibilities in the development of instruments;

(III) Responsible for the specific implementation of the project, implementing the supporting conditions and measures of the project including scientific platform, experimental conditions and personnel guarantee, and ensuring the completion of various tasks and overall objectives such as the development of project instruments;

(IV) Establishing a scientific and effective incentive and evaluation mechanism, mobilizing the enthusiasm of project team members, ensuring the stability of project core members, and promoting the effective implementation of the project;

(V) Responsible for the management, allocation and use of project funds; including the supervision of the allocation and use of funds for the participating units of the project.

(VI) Compiling and reporting the annual implementation of the project and relevant information as required, and timely reporting the major problems arising in the implementation to the National Natural Science Foundation of China and the project recommendation unit.

(VII) Accepting supervision, inspection and guidance from the National Natural Science Foundation of China, the Chinese Academy of Sciences, the project supervision team or the supervision and audit department.

Article 3 The project leader is the direct responsible person for the implementation of the project, and SIAT fully guarantees the conditions for the project leader and its technical team to implement the project. The project leader should organize research in accordance with the project plan, properly carry out project management, team management, and fund allocation management, keep original records of the implementation of funded projects, implement an annual performance and major event reporting system, and accept supervision and inspection from relevant departments.

Chapter 3 Project Initiation Management

Article 4 The Department of Science & Technology Development of SIAT unifies the organization of project initiation. After signing the assignment, the project can be initiated and registered. When submitting the project initiation application, the project leader shall submit the archives of the project to be initiated in accordance with the relevant requirements of the *Archiving Specifications of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for Scientific Research Topic Archives*. After collecting and sorting out all the files related to project initiation (including formally signed project application, budget statement, contract statement, and assignment), the Department of Science & Technology Development shall organize the project initiation in a unified manner. After the project initiation is completed, the Department of Science & Technology Development will issue a formal notice of project initiation, and the project leader shall carry out the research of the project in a timely manner.

Chapter 4 Fund Management

Article 5 The management of project funds shall be carried out in accordance with the relevant provisions of the *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences of Funds for Major Scientific Research Instrument Development Projects of National Natural Science Foundation of China*.

Chapter 5 Project Implementation and Management

Article 6 The project leader shall fill in the project plan in accordance with the requirements of the notice of approval of the funded project and submit it to the supporting unit for review, and the supporting unit shall submit it to the National Natural Science Foundation of China within 20 days from the date of receiving the notice of funding. The approved project plan shall be used as the basis for project implementation, fund allocation, inspection and conclusion.

Article 7 The project leader shall formulate a detailed work plan and a strict work schedule management system according to the schedule and annual assessment indicators in the project plan, so as to steadily promote the implementation of the project. The project leader shall make a good original record of the implementation of the subsidized project, and implement the annual implementation and major matters reporting system. SIAT shall review the annual progress report of the project and submit it to the National Natural Science Foundation of China before January 15 of the following year.

Article 8 Strict quality control system must be established for project implementation to standardize the management of all links from drawing design, material selection, component processing to process installation, and to form complete technical documents. Technical documents shall meet the requirements that the achievements of scientific instruments and equipment can be reproduced.

Article 9 SIAT shall provide conditions for project organization and implementation, grasp the progress of the project, and timely assist the project leader to solve problems arising in the process of project implementation.

Article 10 Where it is necessary to make major adjustments to the research objectives, research contents, research plans and main members of the project for special reasons, SIAT shall apply to the project organization department in time, and the project organization department shall report to the National Natural Science Foundation of China for approval. If the following major events occur during the implementation of the project, the project organization department shall report to the National Natural Science Foundation of China and adjust or terminate the project in time according to the specific circumstances:

(I) The supporting funds or other conditions cannot be implemented, which affects the normal implementation of the project;

(II) The project leader is changed without approval;

(III) It is failed to achieve the technical indicators of the project;

(IV) The acceptance time is delayed without reason;

(V) Other circumstances in which the relevant objectives and requirements of the project plan cannot be fulfilled.

Chapter 6 Acceptance and File Management

Article 11 After the completion of the project, SIAT shall organize the project cooperation unit to carry out the project acceptance application work in accordance with the relevant provisions of the National Natural Science Foundation of China, and apply to the National Natural Science Foundation of China for acceptance within 6 months after the termination of the implementation period. The acceptance includes two stages: financial acceptance and project acceptance. The financial acceptance is based on the financial audit report, the financial final accounts report, the project budget approval document and the budget determined in the project plan. The project acceptance is based on the project plan.

Article 12 Fixed assets purchased and trial-produced with special financial funds belong to state-owned assets, and their management shall be carried out in accordance with the relevant national provisions.

Article 13 In accordance with the relevant provisions of the *Archiving Specifications of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for Scientific Research Topic Archives*, SIAT collects, collates and archives the electronic documents, written materials, audio-visual materials, photographs, charts, data information and other archives with preservation value generated during the implementation of the project in a timely manner, and submits such materials to the National Natural Science Foundation of China for the record.

Chapter 7 Intellectual Property Management and Post-assessment

Article 14 SIAT should strengthen contacts and cooperation with other units using instruments, establish sharing mechanisms, improve the efficiency and level of the use of scientific research instruments and equipment, and promote the transformation of project achievements or technology transfer in accordance with the plan and objectives for the use of achievements determined in the project plan. The plan for the popularization and application of achievements or technology transfer shall be reported to the National Natural Science Foundation of China for the record.

Article 15 The National Natural Science Foundation of China shall track and manage the projects after acceptance for three years. Experts shall be organized to conduct post-evaluation of the project as required, and SIAT shall submit reports on the use and sharing of scientific research instruments and equipment as required.

Article 16 The ownership, utilization, protection, and management of intellectual property formed by the project shall be strictly implemented in accordance with the provisions of the *Law of the People's Republic of China on Scientific and Technological Progress* and relevant national laws and regulations on intellectual property protection.

Article 17 SIAT shall sign agreements with cooperative units and their scientific research backbone to clarify the division of tasks, the ownership, management, utilization of intellectual property rights and the distribution of benefits before the approval and implementation of projects or the allocation of funds.

Article 18 The scientific instruments and equipment products produced during the implementation of the project and the monographs, papers, software, databases and patents produced by the members of the project team using the technology or instruments to carry out scientific research shall be marked with the words "NSFC-National Research Instrument Development Grant of China" and the project approval number.

Chapter 8 Bylaw

Article 19 The Department of Science & Technology Development of SIAT shall be responsible for the interpretation of these Rules, which shall come into force as of the date of promulgation.