

## **Guidelines of Shenzhen Institute of Advanced Technology on Organization and implementation of Scientific Research Projects in Basic Research Institutions**

1. To standardize the organization, implementation and fund management of scientific research projects of Shenzhen basic research institutions (including Shenzhen-Hong Kong Institute of Brain Science, Shenzhen Institute of Synthetic Biology and Shenzhen Institute of Advanced Electronic Materials, hereinafter referred to as the "Research Institution") built by Shenzhen Institute of Advanced Technology (SIAT), the Guidelines hereby formulated.

2. All research institutions should give full play to the utility efficiency of scientific research project funds (including in-institute research project funds, open research topic funds) of basic research institutions in Shenzhen, focus on the national strategic needs and major issues in the forefront of science, and collaborate with advantageous forces inside and outside the SIAT to carry out oriented and systematic basic research. The use management of scientific research project funds should be implemented with reference to the fund management measure for the SIAT.

3. The organization and implementation of scientific research project should typically include sections of project approval, process management, final acceptance, achieving & filing, etc. The scientific research management department of each research institution (hereinafter referred to as "scientific research management department") is the organization, implementation and coordination department of scientific research projects, of which the Department of Science & Technology Development of the SIAT is responsible for the whole process supervision of the implementation of scientific research projects, and actively providing assistance and guidance.

4. Each research institution should closely focus on the medium and long-term strategic planning of the institution and the SIAT construction plan, strengthen the demand-oriented and problem-oriented basic research topic selection mechanism, set the categories of scientific research projects that meet the objectives of the research institution, determine the criteria and the appraisal mechanism for project establishment, and form the list of scientific research projects to be funded and the fund allocation plan. The documents mentioned above should not be implemented until they are submitted to each Academic Committee Meeting/Technology Committee of each research institution or the Director Office Meeting of each research institution for examination and approval, and they also should be timely submitted to the Department of Science & Technology Development for filing.

5. The approval of scientific research projects should adhere to the principle of fair and impartial selection, which should sufficiently take the advice from each Academic Committee Meeting/Technology Committee of each research institution or subject matter experts, strengthen the demonstration and study of the project's foresight, feasibility and technical solution rationality. For competitive scientific research projects, the application guidelines should be published and expert review should be organized, and the project approval results should be determined based on the opinions of the expert review.

6. After the scientific research project has been approved by each Academic Committee Meeting/Technology Committee of each research institution or the Director Office Meeting of each research institution, each scientific research management department should timely organize corresponding principle investigator to sign an Assignment in which research tasks, goals, plans, fund budget and allocation and other core contents are clearly defined to make the performance objectives of the expected results are clear, reasonable and assessable. The Assignment should be signed by the principle investigator for confirmation. Before signing the Assignment, materials for project approval should be submitted to the scientific research management department of the research institution and the Department of Science & Technology Development for review.

7. Each scientific research management department should strengthen the process management of scientific research projects, and keep abreast of the project progress, the use of funds and the problems existing in the project implementation in time. If necessary, it may organize midterm inspection and evaluation, for which the specific operation mode is implemented according to the project management implementation rules formulated by each institution.

8. During the implementation of the scientific research project, the project principle investigator should implement the project according to the content, goals and time nodes set out in the Assignment to complete the established research tasks. If it is necessary to change the contents of the Assignment for objective reasons, the project principle investigator shall submit a written application, and changes cannot be made until the scientific research management department reviews and approves the application.

9. After the implementation of the scientific research project expires, each scientific research management department should organize the acceptance timely. If the implementation period of the project needs to be extended due to objective reasons, the project principle investigator should submit a written application three months before the expiration of the implementation period. If the project is overdue for acceptance, the project principle investigator cannot undertake or participate in other projects organized by each research institution. Projects with irregularities in funding expenditures and scientific research dishonesty should be treated according to the relevant regulations of Shenzhen Municipality on dishonesty.

10. For the projects undertaken by the co-construction units of each research institution, the funds should be appropriated according to the project assignment letter signed by the two parties, and the undertaking unit should provide receipt of payment upon receiving the external appropriated funds as required. For competitive projects undertaken by non co-construction units, funds should be appropriated externally according to the process of project commission payment. Expert review opinions and the Assignment can be used as the basis for external appropriation of funds. Upon receiving the externally appropriated fund, the undertaking unit should provide a receipt as required.

11. Each scientific research management department should properly collect, straighten out and archive scientific research project documents, collect and summarize the whole process of project implementation according to regulations, including but not limited to the Project Application, Assignment, Progress Report, Acceptance Report, Change Application, etc., which are submitted regularly to the Department of Science & Technology Development for filing.

12. Each scientific research management department should, according to the management requirements of these Guidelines, formulate the corresponding implementation rules for scientific research projects and fund management timely, clarify the setting principles for project categories, determine the procedures and standards for review of project approval, process management, final acceptance, and formulate corresponding forms according to the attached template based on actual situation. The implementation rules should be officially issued and implemented after taking the opinions from the Department of Science & Technology Development.

13. These Guidelines are interpreted by the Department of Science & Technology Development of the SIAT and come into effect as of the date of promulgation.

**XXXX Institute**

**XXX Project Application Letter**

Project name: \_\_\_\_\_

Supporting unit: \_\_\_\_\_

Principle investigator: \_\_\_\_\_

Telephone number: \_\_\_\_\_

E-mailbox: \_\_\_\_\_

Starting and ending time of  
project: \_\_\_\_\_

Subsidy amount to be  
applied: \_\_\_\_\_

Application date: \_\_\_\_\_

**1. Basic info.**

|  |   |                           |           |           |
|--|---|---------------------------|-----------|-----------|
| Research topic name                        |   | Fund amount to be applied |           |           |
| Starting and ending time                   |   |                           |           |           |
| Principle investigator name                |   | Title                     |           |           |
| Telephone                                  |   | Certificate number        |           |           |
| Research group                             |   |                           |           |           |
| Name                                       | Certificate number  | Title                     | Unit name | Signature |
|  |   |                           |           |           |
|  |   |                           |           |           |
|  |   |                           |           |           |
| Project abstract<br>(limited to 500 words) | (Outline the key scientific problem to be solved, major research contents and goal setting) |                           |           |           |

## 2. Basic info. of principle investigator

|   |  |                    |            |               |  |
|---|--|--------------------|------------|---------------|--|
| Name  |  | Sex                |            | Date of birth |  |
| Title   |  | Post               |            |               |  |
| Highest education degree  |  | Discipline         |            |               |  |
| Cellphone number  |  | Certificate number |            |               |  |
| E-mailbox   |  | Research field     |            |               |  |
| Education experience  |  |                    |            |               |  |
| SN  | Starting and ending time                           | University name    | Major      | Degree        |  |
|   |  |                    |            |               |  |
|   |  |                    |            |               |  |
| Main job resume   |  |                    |            |               |  |
| SN  | Starting and ending time                           | Unit name          | Department | Post          |  |
|   |  |                    |            |               |  |
|   |  |                    |            |               |  |
|   |  |                    |            |               |  |
| Representative achievements (not more than 5, filling in with the sequence by importance)               |  |                    |            |               |  |
| SN  | Author/paper name/journal name/publication date/IF |                    |            |               |  |
|   |  |                    |            |               |  |
|   |  |                    |            |               |  |
|   |  |                    |            |               |  |
| Main projects that have led or undertaken (not more than 5, filling in with the sequence by importance) |  |                    |            |               |  |
|   |  |                    |            |               |  |
|   |  |                    |            |               |  |
|   |  |                    |            |               |  |

|  |  |
|--|--|
|  |  |
|  |  |
| Major performance summary (not more than 500 characters) |  |
|  |  |



### **3. Project background and significant (within 800 characters)**

(Outline the effective demands of economic, social and technological development, the scientific significance of the research topic, and the expected contribution to solving the major demand issues)

### **4. Research status and trend at home and abroad (within 800 characters)**

(Outline the latest international research progress and development trend, domestic research status and level, and the possibility of breakthrough in related research fields)

### **5. Main research content and research program (within 2,500 characters)**

(The main research content should focus on key scientific issues with systematic, organic and highlighted statement. Outline the academic ideas, technical approaches, innovation and feasibility analysis of the research program in combination with the main research contents)

### **6. Existing working basis and conditions (within 1,000 characters)**

(The work basis and main research achievements of the research group in the related research of the applied research topic; the working conditions for the implementation of the research topic; the national, provincial and municipal science and technology projects related to this research topic and their completion in the past three years))

### **7. Research team (within 1,000 characters)**

(Outline the size and structure of the R&D service team, such as the personnel profile in terms of age, major, title, etc.; Outline the research background of the research topic principle investigator and key personnel, such as job resumes, papers, research topics, awards and patents)

## **8. Anticipated outcomes (within 600 characters)**

(First describe the economic achievements, academic achievements and technical achievements that will be achieved within five years of the research topic, then describe the above achievements that will be achieved within one year of the research topic)

### Budget statement ('0,000 yuan)

| SN     | Category of expenditure  | Budget amount of undertaking unit ('0,000 yuan) | Budget amount of cooperative unit ('0,000 yuan) | Total budget ('0,000 yuan) |
|--------|--|---|---|----------------------------|
| 1      | Total  |   |   |                            |
| 2      | Equipment expense  |   |   |                            |
| 3      | Material cost  |   |   |                            |
| 4      | Test, assay and processing cost  |   |   |                            |
| 5      | Publishing/literature/information dissemination/intellectual property services expense |   |   |                            |
| 6      | Personnel expense  |   |   |                            |
| 7      | Labor expense  |   |   |                            |
| 8      | Expert consultation expense  |   |   |                            |
| 9      | Travel expense   |   |   |                            |
| 10     | Conference expense   |   |   |                            |
| 11     | International cooperation and exchange expense   |   |   |                            |
| 12     | Other expenses   |   |   |                            |
| Remark |  |   |   |                            |

## Commitment Letter

XXXX Institute:

Personnel from our unit \_\_\_\_\_ have applied XXXXX Project of XXXX Institute \_\_\_\_\_ The application materials and attachments submitted by them are true and valid. We promise that the research topic has not been supported by national, provincial or municipal projects, and the contents of the research topic has not been included in the scope of support of Shenzhen Basic research institutions. We have rigorously reviewed and approved the ethics of experimental animals or the medical ethics involved in the research topic. If funded, the principle investigator will strictly abide by the relevant regulations of XXXXX Institute, earnestly ensure the research time, conscientiously carry out research, and submit relevant materials on time. The principle investigator will bear full responsibility if the report is inaccurate and violates the rules. If the above situation is inconsistent with truth, we and the research group will bear all responsibilities and consequences.

Hereby promise.

Principle investigator (signature):

Unit (seal):

Date:

SYK ZI [2022] No. 7 Attachment 3

Project No.: \_\_\_\_\_ Scheduled year: \_\_\_\_\_

Project category: \_

## **Contract of XXX Project of XXX Institute**

Project name: \_\_\_\_\_

Undertaking unit: \_\_\_\_\_ (seal)

Unit address: \_\_\_\_\_

Project leader: \_\_\_\_\_ Telephone number: \_\_\_\_\_

Contact person: \_\_\_\_\_ Contact person's cellphone: \_\_\_\_\_

**XXXX Institute**

**MM/YYYY**

Party A (project management unit): \_\_\_\_\_

Party B (project undertaking unit/principal): \_\_\_\_\_

On the premise of complying with the measures for the management of vertical scientific research projects of Shenzhen Institute of Advanced Technology, according to regulations of related documents such as the Implementation Plan for Construction of Ten Basic Research Institutions in Shenzhen and the Management Measures of Construction of Newly Established Basic Research Institutions in Shenzhen (Trial), Party A and Party B have concluded and reached the following agreement through consultation to complete the \_\_\_\_\_ Project (hereinafter referred to as the "Project", see Attachment for details):

**Article 1** In accordance with the relevant documents and the Contract, Party A shall grant R&D fund of the project to Party B in RMB (in words \_\_\_\_\_) (¥ \_\_\_\_\_) (hereinafter referred to as "project fund"). Project fund shall only be used for equipment expense, scientific research materials and service expenses (including materials expense, testing, assay, and processing expense, fuel and power expense, publishing/literature/information dissemination/intellectual property expense, etc.), human resources expenses (including personnel expense, labor expense, expert consulting expense, etc.), and other expenses (including travel expenses, conference expense, international cooperation and exchange expense, and other expenses) of the Project. Party B shall not use the funding provided by Party A to pay the salary expenses of the members of the project team funded by institutional fees in their respective unit.

**Article 2** The implementation period of the project shall be from the date of signing the Contract to \_\_\_\_\_. During the execution period of the project, Party B shall prepare the annual progress report of the project on an annual basis, which shall comprehensively reflect the annual income and expenditure of the project funds, the progress of the project and the performance achieved. The annual progress report shall be submitted to Party A before next March 1. Party A shall decide whether to continue funding in the next year after evaluation.

**Article 3** Party A has the right to track and manage the implementation of the project and the use of the project fund. Party B shall cooperate with Party A. If Party B fails to cooperate with Party A, Party A shall have the right to unilaterally terminate the Contract according to Article 10 hereof.

**Article 4** All papers obtained through such project funding shall be marked with the information of Party A's funding: \_\_\_\_\_ Institute (No.). The intellectual properties obtained from the project funding shall be managed according to the relevant regulations of the research topic undertaking unit.

**Article 5** When Party B transfers the research results or introduces capital to establish an industrialized company during the industrialization of the project, Party A shall have the priority to enjoy a certain percentage of income or investment rights under the same conditions, and the specific percentage shall be determined by Party A and Party B through negotiation.

**Article 6** During the project implementation period, the project content is generally not adjusted. If Party B has to make changes to the project leader, acceptance contents and completion date, etc. due to major events that seriously affect the progress of the project or force majeure and other factors, Party B shall report to Party A and submit a written application within 30 days after the occurrence of such events. Party A has the right to make further decisions according to the actual situation.

If the project involves issues related to scientific research ethics and scientific and technological security and safety (such as biosafety, information security, etc.), Party B shall strictly implement relevant national laws, regulations and codes of ethics.

**Article 7** If Party B arbitrarily suspends the project implementation, changes the contents of the project contract, or fails to truthfully fill out the annual progress report and the use of funds on time without just causes, Party A may suspend the project implementation, cancel the project, and no longer provide subsequent financial support for the project.

**Article 8** Within 30 days from the date of project completion as stipulated herein, Party B shall voluntarily submit an application for project acceptance to Party A and submit a project conclusion report as required, which shall include work summary, achievement catalog, financial report of research topic, etc., and attach the final PDF of the full-text published paper, works, patents and experimental data, etc. If Party B fails to submit the acceptance application on time, Party B shall submit an application for delayed acceptance inspection to Party A 30 days prior to the expiration of the project completion time. If Party B fails to complete the acceptance report according to the standard requirements on time, Party B shall be deemed that it fails to pass the acceptance inspection or fails to make final conclusion.

**Article 9** If the project fails to be accepted, Party B shall not apply for Party A's project funding within one year after the acceptance conclusion is issued.



**Article 10** If Party B or its project leader violates the relevant terms herein, Party A has the right to unilaterally terminate the Contract. Upon Party A's unilateral termination of the Contract, Party B shall liquidate the project funds and refund Party A's project funding in full within 30 days upon receipt of Party A's written notice of termination.

**Article 11** The additional terms and conditions concluded by both parties through negotiation shall be an integral part of the Contract and shall have the same legal effect. If the project is technically confidential, both parties shall separately enter into a technical confidentiality agreement, which shall be an integral part of the Contract and shall have the same legal effect.

**Article 12** Matters not covered herein shall be implemented according to the regulations stipulated in the *Implementation Plan for Construction of Ten Basic Research Institutions in Shenzhen* and the *Management Measures of Construction of Newly Established Basic Research Institutions in Shenzhen (Trial)* and other relevant documents.

**Article 13** This contract is made in quadruplicate, with each party holding two copies.

Research topic management unit (Party A):

Unit address:

Legal representative (or authorized representative):

Principal of research topic management unit: (signature)

Date :

Research topic undertaking unit (Party B):

Unit address:

Legal representative (or authorized representative):

Research topic principle investigator: (signature)

Date :

## **R&D Task of Project**

A large, empty rectangular box with a thin black border, occupying the central portion of the page. It is intended for the user to describe the R&D tasks of the project.

## **Expected project goals (assessment indexes for acceptance)**

Outline the main academic indicators, technical indicators and economic indicators completed during the implementation period of the project, and the expected goals should be clear, reasonable and assessable.

## Budget of project funds

(Unit: '0,000 yuan)

| SN     | Category of expenditure  | Budget amount of undertaking unit ('0,000 yuan) | Budget amount of cooperative unit ('0,000 yuan) | Total budget ('0,000 yuan) |
|--------|--|---|---|----------------------------|
| 1      | Total  |   |   |                            |
| 2      | Equipment expense  |   |   |                            |
| 3      | Material cost  |   |   |                            |
| 4      | Test, assay and processing cost  |   |   |                            |
| 5      | Publishing/literature/information dissemination/intellectual property services expense |   |   |                            |
| 6      | Personnel expense  |   |   |                            |
| 7      | Labor expense  |   |   |                            |
| 8      | Expert consultation expense  |   |   |                            |
| 9      | Travel expense   |   |   |                            |
| 10     | Conference expense   |   |   |                            |
| 11     | International cooperation and exchange expense   |   |   |                            |
| 12     | Other expenses   |   |   |                            |
| Remark |  |   |   |                            |



## Project scheduling and staged goals

| <b>Stage</b> | <b>Starting and ending time</b> | <b>Research content and expected goals</b> |
|--------------|---------------------------------|--|
|              |                                 |  |
|              |                                 |  |
|              |                                 |  |

## Project Progress Report

Project category: \_\_\_\_\_

Project name: \_\_\_\_\_

Project leader: \_\_\_\_\_ Telephone: \_\_\_\_\_

E-mailbox: \_\_\_\_\_

Undertaking unit: \_\_\_\_\_

Contact person: \_\_\_\_\_ Telephone: \_\_\_\_\_

Project fund: \_\_\_\_\_ Execution duration: \_\_\_\_\_

Filling date: YYYY MM DD



## **Report text**

### **1. Major research progress**

Describe the research progress and completion of indexes.

### **2. Utilization of funds**

### **3. Existing problems and solutions**

### **4. Other circumstances needing to be described**

Annex: Catalogue of research achievements

1. Journal paper

2. Patent

3. Other

## Project Final Conclusion Report

Project category: \_\_\_\_\_

Project name: \_\_\_\_\_

Project leader: \_\_\_\_\_ Telephone: \_\_\_\_\_

E-mailbox: \_\_\_\_\_

Undertaking unit: \_\_\_\_\_

Contact person: \_\_\_\_\_ Telephone: \_\_\_\_\_

Project fund: \_\_\_\_\_ Execution duration: \_\_\_\_\_

Filling date: YYYY MM DD

# **Report text**

## **I. Final Conclusion Part**

1. Summary of research plan implementation
  - (1) Execution according to schedule
  - (2) Completion of research goals
2. Main progress, results and influence of the research work
3. Cooperation and work division of researchers
4. Academic cooperation and exchange
5. Existing problems, suggestions, and other situations needing to be explained

## **II. Achievements Part**

1. Overview of project achievements (articles, patents)
2. Transformation and application of project achievements
3. Talent cultivation
4. Other achievements needing to be explained

## **III. Fund expenditure**

A project statement is required

## **Annex: Catalogue of research achievements**

1. Journal paper
2. Patent
3. Other