

**SYCF [2023] No. 28 Attachment 2:**

**Management Measures of Shenzhen Institute of Advanced  
Technology, Chinese Academy of Sciences on the Use of  
Scientific Research Project Surplus Funds (Trial)**

**Article 1** To standardize the management of scientific research project surplus funds at Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), and ensure the rational and effective use of surplus funds, these Measures are formulated in accordance with the *Several Opinions of the General Office of the State Council on Reforming and Improving the Management of Central Government Scientific Research Funds* (GBF [2021] No. 32) and relevant regulations on fund management policies currently in effect at the provincial and municipal levels, combined with the actual work situation of SIAT.

**Article 2** These Measures apply to competitive scientific research projects (hereinafter referred to as "projects") undertaken by SIAT and funded by central government, ministries and commissions, such as the Chinese Academy of Sciences, the Ministry of Science and Technology, the Ministry of Finance, the National Development and Reform Commission, the National Natural Science Foundation of China, and local fiscal funds and social funds.

**Article 3** The surplus funds referred to in these Measures are the funds remaining from projects undertaken by SIAT that have been completed and have met the credit standards after final acceptance.

**Article 4** Confirmation of project surplus funds

Within 60 days after the expiration of the project contract, the project undertaking unit shall, in principle, submit a financial conclusion application in accordance with the requirements of the project competent department. The finance department will conduct financial audits and final financial conclusion of the project based on the project funding budget, objectives, tasks, and work progress. If the total expenditure of the project exceeds the amount received, regardless of whether it enters the final settlement process, the project funds cannot be used further. The finance department will notify the unified department to close the project account use rights.

Within one month after receiving the acceptance notice for completing the project objectives, the unified department shall complete the procedures to suspend the project. After notifying the finance department, it will handle the procedures for settling the surplus funds. The finance department will determine the amount of surplus funds and handle the accounting for surplus funds.

**Article 5** Allocation of project surplus funds

After completing the project objectives and passing the comprehensive performance evaluation, the surplus funds will be retained by SIAT. SIAT will allocate the surplus funds for direct scientific research expenses and return a portion to the project units that have completed the acceptance and have surplus funds. SIAT will use its own funds to supplement the operational expenses of the project units, with an amount equivalent to 75% of the total surplus funds. However, if a unit experiences a deficit or fails to pay management fees, the surplus will be used to offset the deficit before returning the balance. Priority consideration will be given to the original project team's scientific research needs when using surplus funds. We will strengthen the management of surplus funds and improve mechanisms to activate them, accelerating the pace of fund utilization.

**Article 6** Overall arrangement of project surplus funds

According to national policies, the surplus funds of projects shall be centrally managed by SIAT. The finance department will compile the amount of surplus funds into the annual budget as one of the sources of funds, review and balance them comprehensively, prepare a draft annual budget for surplus funds, and implement it after review by SIAT's budget meeting.

**Article 7** The responsibilities of the finance department of SIAT include:

(I) Implementing national policies and systems for the management of project surplus funds and formulating management measures for surplus funds;

(II) Verifying the amount of project surplus funds;

(III) Including the project surplus funds in and compiling them into the annual budget of the Institute;

(IV) Submitting the draft annual budget of the Institute for review at the budget meeting;

(V) Managing the financial expenditure and accounting for surplus funds.

**Article 8** The responsibilities of SIAT's unified departments include: collecting information on project acceptance and finalization, reporting it to the finance department within the specified time, and completing the procedures for opening, freezing, and canceling project accounts according to the time specified in assignment.

**Article 9** Projects (units) shall cooperate in confirming information about the surplus funds of scientific research projects.

**Article 10** These Measures are interpreted by the finance department of the SIAT and is effective immediately upon promulgation. The original *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on the Use of Scientific Research Project Surplus Funds* (SYC ZI [2020] No. 83) shall be repealed simultaneously. Matters not covered in these Measures should be implemented according to national laws, regulations, rules and normative documents, and relevant rules and regulations of the SIAT (Shenzhen Institute of Advanced Technology should apply these Measures).