

# **Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Task Outsourcing of Scientific Research Project**

## **Chapter 1 General**

**Article 1** To further standardize the process management of scientific research projects/research topic of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), improve the efficiency of scientific research fund use, and establish and perfect the scientific research management system, these Regulations are hereby formulated.

**Article 2** These Regulations apply to all kinds and levels of scientific research projects/research topics undertaken by all kinds of personnel of the SIAT in the name of the SIAT.

## **Chapter 2 Task Outsourcing of Scientific Research Project**

**Article 3** Task outsourcing that occurs during the execution of scientific research projects/research topics refers to the task outsourcing that purchase related services from partners not previously agreed upon at the application stage during the execution of scientific research projects/research topics according to the requirements of the project/research topic task goal, which can be divided into commissioned processing, external cooperation, etc.

**Article 4** Commissioned processing refers to the process that the SIAT provides specific requirements or drawings and other standards to a partner that completes processing according to the requirements and standards and delivers the final result or qualified finished product to the SIAT, with the entire experiment and production carried out by the partner itself.

**Article 5** External cooperation refers to the process that the SIAT commissions a partner to complete some experimental tasks that the SIAT cannot carry out or do not have experimental conditions, and the partner will provide the data results or the materials for the SIAT after the completion of the commissioned task.

### **Chapter 3 Management of Task Outsourcing of Scientific Research Project**

**Article 6** The regulations on the management of task outsourcing of scientific research projects/research topics of the SIAT are as follows:

(1) Project/research topic outsourcing must stringently comply with the related regulations of the project/research topic issuing unit and research topics that cannot be subcontracted to a third party should not be outsourced.

#### **(2) Responsibilities**

1. Research unit/department: Propose task outsourcing demand, recommend outsourcing partner, participate in inspecting and verifying the quality assurance ability of the outsourcing partner and the carrying out acceptance of products/services. The project/research group draws up the outsourcing contract, in which properly sets out technical, quality assurance, and service terms, designates specialized personnel to track and control the outsourcing process, organize the acceptance of the outsourcing project.

2. Institute: Fulfill centralized management responsibilities, responsible for the implementation of the review and management of outsourcing contracts, assist the Division of Science & Technology Development to carry out the acceptance for some outsourcing projects.

3. Department of Science & Technology Development: Responsible for the review and management of outsourcing contracts, participate in the acceptance of some outsourcing projects.

(3) The principles of determining a outsourcing partner

1. With production, design and development abilities to meet the requirements of relevant standards and technical documents for the outsourcing task;

2. With corresponding quality assurance ability;

3. Capable of completing the outsourcing task on time at a reasonable price;

4. Capable of providing excellent technical services.

(4) Approval principle of outsourcing task

The project outsourcing applicant should be a formal employee of the SIAT, who must fill out the *Application Form for Commissioned Business and Technology Development* in the AOP system and promise no connected transactions for approval by principals at all levels before implement outsourcing. If the total project outsourcing amount is below 20,000 yuan, the outsourcing can be implemented after approval by the assistance of center, the head of the center, and the director of research institute; if the value is above 20,000 yuan (inclusive) and below 100,000 yuan, the outsourcing can be implemented after approval by the personnel in charge of the Office of Management of the Department of Science & Technology Development, the deputy director in charge and the director of the Department of Science & Technology Development, the deputy director in charge; if the value is above 100,000 yuan (inclusive), outsourcing can be implemented after the approval by the deputy director in charge and the director in both.

If the total outsourcing amount is above 5,000 yuan (inclusive), the related outsourcing contract should be made; if the value is above 30,000 yuan (inclusive) and below 500,000 yuan, price comparisons should be made with 3 or more companies offering the formal quotation; if the value is above 200,000 yuan (inclusive), the basic outsourcing information should be publicized in the SIAT; if the value is above 500,000 (inclusive), the outsourcing should be carried out by the Department of Science & Technology Development according to the requirements of the related management system of government procurement. For outsourcing task of special form, corresponding description should be provided, and the outsourcing task should be signed and approved by the principal of the application department. If the outsourcing task need to be demonstrated separately in special circumstances, the outsourcing should be implemented after such demonstration. If the financial fund allocation unit has special requirements for the use of its allocated funds for project/research topic outsourcing, it shall be implemented according to its regulations.

#### (5) Signing of outsourcing task contract

The outsourcing task contract typically should include the follows:

1. Requirements of the functions, performance, and technical specifications of the final deliverables of the outsourcing task;
2. Special technical requirements and quality responsibilities, such as control requirements for key processes and special processes;
3. The control requirements for the design and development processes should be determined according to the characteristics of the outsourcing task, such as planning, review, verification, confirmation, etc.;
4. Procedures for trial production, testing and trial use and necessary source records;
5. Requirements for technical coordination, trial processing, matching test, re-inspection and appraisal, and the use of installed machines;
6. Requirements for packaging, transportation, and protection;
7. Methods of disposing of nonconforming products;

8. Delivery status and special inspection methods, acceptance criteria for outsourced products;

9. Agreements on intellectual property rights, confidentiality, liability for breach of contract, etc.

The contents of the outsourcing contract can be added or deleted appropriately according to different circumstances. After the contract is signed, the project/research group should submit an original or faxed copy of the contract to the Department of Science & Technology Development for filing.

#### (6) Control of outsourcing task process

For a key and important outsourcing task, the project/research group should designate specialized personnel to track the contract, and specify the specific technical requirements, quality requirements and process control requirements in the contract. If necessary, add staged acceptance of outsourced tasks to ensure that the quality of outsourced tasks meets the contract requirements. In the process of executing the contract, the relevant personnel of the project/research group should control the outsourcing process stringently according to the regulations of the contract and participate in the corresponding control activities at the site of the outsourcing partner according to the time node agreed in the contract. If the outsourcing party does not comply with the contract in terms of delivery quality, quantity and delivery time, remedial measures should be taken or claim for compensation should be made according to the requirements of the contract.

#### (7) Acceptance

To ensure the outsourced task meets the requirements of the contract after expiration of the contract, the center for research should organize acceptance by itself for project outsourcing task with the amount below 20,000 yuan, the applicant, the purchaser, and the acceptor should not be the same person; if the value is above 20,000 yuan (inclusive), the center for research, the institute, and the Department of Science & Technology Development jointly carry out the acceptance. The acceptance should be carried out item by item according to the requirements of the contract, and the applicant should fill out the *Acceptance Form for Commissioned Business and Technology Development* in the AOP system.

### **Chapter 4 Bylaw**

**Article 7** These Regulations are interpreted by the Department of Science & Technology Development and come into effect as of the date of promulgation.