

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

SYKZI [2019] No. 132

**Notice on Shenzhen Institute of Advanced Technology,
Chinese Academy of Sciences on Issuance of the
*Management Measures on Science and Technology Awards,
the Management Regulations on Government Sponsored
Research Projects, the Management Regulations on Task Outsourcing
Of Scientific Research Projects, the Management Measures
on Key Laboratories (Trial), and the Management Measures
on Engineering Laboratories (Trial)***

All units (department) of the SIAT:

To encourage scientific research personnel to apply for various science and technology awards, ensure fair payment of prize money, further strengthen the supervision process of scientific research projects of the SIAT, strengthen the risk prevention and control of scientific research fund external appropriation, and standardize the construction and operation management of key laboratories and engineering laboratories, the original *Management Measure of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Government Sponsored Research Projects* and the *Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Task Outsourcing of Scientific Research Projects* have been revised, and three systems including the *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Science and Technology Awards*, the *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Key Laboratories (Trial)* and the *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Engineering Laboratories (Trial)* have been developed, all of which were deliberated and approved at the 2nd Institute Administrative Affairs Meeting in 2019 and are hereby issued. Please comply and execute accordingly.

The original *Management Measure of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Government Sponsored Scientific Research Projects* (SYK ZI [2016] No. 4) and the *Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Task Outsourcing of Scientific Research Projects* (SYK ZI [2016] No.4) were repealed simultaneously as of the date of issuance of this Notice.

Attachment 1: Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Science and Technology Awards

Attachment 2: Management Measure of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Government Sponsored Scientific Research Projects

Attachment 3: Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Task Outsourcing of Scientific Research Projects

Attachment 4: Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Key Laboratories (Trial)

Attachment 5: Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Engineering Laboratories (Trial)

Shenzhen Institute of Advanced
Technology, Chinese Academy of
Sciences

October 25, 2019

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

Issued on November 5, 2019

Management Measure of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Government Sponsored Scientific Research Projects

Chapter 1 General

Article 1 To further improve the scientific research management system, standardize the management of Government Sponsored scientific research projects/research topics of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), improve the efficiency of the use of scientific research funds, ensure the open, fair and scientific management of scientific research projects/research topics, and guarantee the smooth completion of scientific research projects/research topics on time, according to the relevant management regulations of the relevant state departments, local governments and the Chinese Academy of Sciences, combining with the actual situation of the SIAT, these Measures hereby are formulated.

Article 2 These Measures are applicable to all kinds of Government Sponsored scientific research projects/research topics at all levels undertaken by the scientific research personnel relying on the SIAT, of which Government Sponsored scientific research projects/research topics refer to projects/research topics approved by the government authorities at all levels except for the talent special projects.

Chapter 2 Responsibility Regulations

Article 3 The power and responsibility of Government Sponsored scientific research project/research topic management are clearly defined, with the principles of insisting on overall planning in the institute, cooperation between departments, and determining responsibilities as per work division.

As the leading management department, the Department of Science & Technology Development is responsible for collecting, sorting out, promulgating

and reviewing relevant information of various Government Sponsored scientific research projects/research topics at all levels, organizing all scientific research units

(institutes, center for research, research room, etc.) to apply for projects/research topics, the administrative affairs of contract review and signing, project approval, process management, final acceptance, achievement appraisal and award application, scientific research archiving, etc. for the Government Sponsored scientific research projects/research topics. The Public Finance Department is responsible for project/research topic budget review and accounting, handling financial reimbursement, fund write-off and other related matters, controlling expenditure standards, scope and fund use, as well as responsible for financial management matters involved in the process of project/research topic application, contract signing, mid-term assessment, final acceptance, etc.; the Transfer Department is responsible for the transfer and transformation of intellectual property rights involved in the process of implementing the project/research topic, and the management of project incubation and holding companies.

According to the work needs, other functional departments should supervise and manage Government Sponsored projects/research topics and provide support services according to their responsibilities.

Article 4 The institutes perform unified management responsibilities. They are responsible for assisting the Department of Science & Technology Development to plan and organize the application of Government Sponsored scientific research projects/research topics within the institute, carrying out daily project management approval, mid-term assessment and final acceptance, etc. to provide support for the successful completion of projects/research topics.

Article 5 Each institute has several centers for research/research rooms that are responsible for the organization, coordination and management of various scientific research activities in each center for research/research room to ensure the scientific research activities of each center for research/research room are carried out in a normal and orderly manner. They are also responsible for the supervision and management of each scientific research activities of each center for research/research room.

Article 6 A project/research topic principle investigator is the first person responsible for the implementation of the project/research topic, whose responsibilities include applying and implementing the project/research topic, fulfilling the contract or assignment of the project/research topic, controlling and managing the quality of the project/research topic process, and completing the scientific research task of the research project/research topic on schedule according to the management systems of the superior competent department.

Chapter 3 Project Application and Review

Article 7 Principle of Government Sponsored scientific research project/research topic application: Applications for various types of scientific research projects/research topics at all levels should be implemented according to the management regulations of the competent department of the projects/research topics. If necessary, major projects should be reviewed by the Academic Committee Meeting of the SIAT.

All types of personnel at all levels of the SIAT (including personnel and students) who apply for various Government Sponsored projects/research topics at all levels, whether individually or cooperatively, must be included in regular scientific research project management of the SIAT and properly prepares for all matters of project/research topic application.

The rules governing the application of Government Sponsored projects/research topics by postdoctoral personnel are as follows: Postdoctoral fellows cultivated in cooperation with enterprises and postdoctoral fellows who are only nominally employed but have not joined the SIAT are not allowed to apply for various Government Sponsored projects/research topics at all levels.

The rules governing the application of Government Sponsored projects/research topics by part-time duty personnel are as follows: Provide the necessary supporting materials, and in-institute commitment letter according to the requirements of Government Sponsored project/research topic application at all levels, ensure the smooth implementation of the project/research topic and pass the final acceptance, and the members of the project team should be the formal employee of the SIAT with a project leader appointed inside the SIAT. In addition to meeting the requirements of research project conclusion, at least one result in the form of a paper derived from the project/research topic with the SIAT to be the first affiliated institution.

The rules governing the application of Government Sponsored projects/research topics by personnel who have not yet completed the entry procedures are as follows: Those who receive the formal offer letter from the SIAT and meet the basic application conditions are allowed to apply for Government Sponsored projects/research topics.

Personnel from other units who have no working unit or no employment relationship with the SIAT are not allowed to apply for Government Sponsored projects/research topics by attaching to the SIAT.

The application rules for competitive Government Sponsored projects/research topics with project quantitative restriction are as follows: The competent department of Government Sponsored projects/research topics have application quantitative restriction in the SIAT. In the case of competition within the SIAT, if the Government Sponsored project/research topic has been recommended for two consecutive years but has not been approved will be suspended for one year.

Article 8 Government Sponsored scientific research project/research topic application and review process: After the application notice is issued by the competent department of various Government Sponsored projects/research topics at all levels, the Department of Science & Technology Development is responsible for timely issuing project/research topic application guidelines, each research unit should make application according to the time node specified by the Department of Science & Technology Development that will make unified application management and archive application materials. If the SIAT is only a cooperative unit to participate in the application of all types of Government Sponsored projects/research topics at all levels, the Department of Science & Technology Development will not make unified application arrangements. The related project/research topic principle investigators participating in the cooperation in the SIAT should submit all the materials related to the projects/research topics, such as the cooperation agreement and application materials, to the Department of Science & Technology Development and the principal leaders of the SIAT for approval, and make filing at the Department of Science & Technology Development. In the review stage of the scientific research project/research topic, the project leader should carefully prepare the review and defense materials according to the unified deployment of the superior competent department, and the Department of Science & Technology Development should organize the in-institute pre-defense if necessary.

Chapter 4 Contract Signing and Project Approval

Article 9 For all Government Sponsored projects/research topics that have been formally approved for financial support by the SIAT or the superior competent department, the signing of the project/research topic assignment or contract will be organized by the Department of Science & Technology Development according to the requirements of the SIAT or the superior competent department. The projects/research topics that have signed the assignment or contract should be registered in the SIAT and included in the routine management scope of the SIAT projects.

When submitting the application for project approval, the project/research topic principle investigator should fill out the *Form of Scientific Research Topic Process Archive Collection Responsibility of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* according to the

related requirement of the *Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Science and Technology Research Archives*. After completing the collection and sorting of all relevant materials related to project approval (such as officially signed project application, research topic budget statement, contract, assignment, etc.), the Department of Science & Technology Development will organize approval of scientific research projects/research topics in a unified manner, each institute, center for research, research room, etc. should provide assistance. After completion of project approval, the Department of Science & Technology Development will issue the notice of project approval, and the project/research topic principle investigator should timely begin to work on his/her project. The financial approval of the project/research topic should follow the relevant regulations of the finance department.

Chapter 5 Internal Fund Management and External Fund Appropriation Management

Article 10 The use and management of project/research topic funds should be strictly implemented according to the relevant fund management measures formulated by the competent department of the project/research topic and the relevant regulations of the financial system of the SIAT.

Article 11 As the undertaking unit of the project/research topic, the SIAT should timely sign the fund breakdown agreement with each cooperative unit to make agreements on the relationship of power and responsibilities and fund allocation in advance.

Article 12 As the undertaking unit of the project/research topic, the SIAT should make accounting and allocation of the funds to the each cooperative unit according to the budgets set out in the contract or the assignment, and strengthen the supervision and management of the external appropriation funds.

Article 13 As the undertaking unit of the project/research topic, the SIAT should be responsible for summarizing the budget implementation of all cooperative units for supervision and inspection.

Article 14 As the cooperative unit of the project/research topic, the SIAT should separately make accounting for special funds, cooperate with the undertaking unit to properly manage special funds, consciously accept supervision and inspection, and submit annual fund usage status to the undertaking unit timely, so that the undertaking unit can summarize and submit its annual use situation of research topic funds.

Chapter 6 Process Management

Article 15 The Department of Science & Technology Development is responsible for the whole-process service and management of Government Sponsored projects/research topics. its major duty is to monitor all related matters in the process of project progress, including the organization and implementation of project progress inspection, final acceptance, scientific research archive summary and straightening out, etc., and assisting the project/research group to ensure the smooth delivery of the project on schedule. Once a scientific research project/research topic is approved, the project/research topic principle investigator should organize the implementation as soon as possible, and reasonably arrange expenditure and project research work plan according to the requirements of the budget statement and the assignment.

The Department of Science & Technology Development should be responsible for, based on the actual scientific research needs, organizing regular or irregular project progress inspection to obtain the information of actual progress of the project under research, and assisting the project/research group to solve problems encountered in the research process, and strengthening the process management to ensure the smooth implementation of the project. The Department of Science & Technology Development should assist the superior competent department to organize the implement the process management of the project/research topic according to the requirements to carry out careful review, timely summary and uniform submission of the project/research topic progress materials required by the superior competent department. Each institute should voluntarily cooperate with the Department of Science & Technology Development to successfully complete the process management of project/research topic. The Division of Science & Technology Development and all scientific research units (institutes, centers for research, research rooms) should timely collect and straighten out scientific research topic archives according to the work division requirements of the *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Scientific Research Topic Archives*. The Department of Science & Technology Development is responsible for summary and straightening out these materials and transfer them to the

Comprehensive Archives Room of the SIAT after final acceptance of project/research topic.

Article 16 Resignation management of project/research topic principle investigator: In principle, a principle investigator of a project/research topic under progress is not allowed to leave the SIAT during the execution of the project/research topic. In case of resignation from the SIAT due to special reasons, for projects that belong to the category not allowing to change the project/research topic principle investigator, for example, the National Natural Science Foundation of China (NSFC) Youth Fund, it is recommended that the principle investigator transfers his/her project/research topic to his/her new organization for continuous execution in principle.

For projects/research topics allowing to change the project leader, the leader should make detailed work handover for his/her research project/research topic under progress after being approved by the principal of the research center and the principal leader of the research institute. In addition to filling out the *Form of Project Change Request of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences*, a list of scientific research archives that need to be handed over and the suitable alternative project/research topic principle investigator in the SIAT should be clearly specified in the list of handover, with the signatures for confirmation by the original principle investigator, new principle investigator, principal of the research center, principal leader of the institute, and the leader of the SIAT in charge of scientific research. If the project/research topic is still executed by the original project/research topic principle investigator resigned from the SIAT, the superior leader of such principle investigator (for example, the principal of his/her original research center or the institute) as the contact person of management with the Division of Science & Technology Development to perform the internal management responsibility of the project/research topic until the project/research topic is successfully concluded.

Article 17 Process management of Government Sponsored scientific research project/research topic: The management of various Government Sponsored projects/research topics at all levels should strictly implement the relevant regulations of national ministries and commissions such as the Ministry of Science and Technology, the Chinese Academy of Sciences, and the project/research topic competent departments of Guangdong Province and Shenzhen City to cooperate with process management such as mid-term assessment and annual inspection to ensure timely and efficient completion of the scientific research tasks undertaken. Once the project/research topic task is assigned, the principle investigator should immediately organize implementation, carefully prepare the project research work plan and fund use plan, and complete the annual implementation report and related statements timely in strict accordance with the regulations of the project/research topic competent department, which should be submitted after review and summary by the Department of Science & Technology Development to ensure the project is completed on schedule. The research progress should be carried out according to the plan, and the project/research topic progress report should

be submitted regularly to the Department of Science & Technology Development for archiving and filing according the requirements of the superior competent department, with the project progress being truthfully reported and subject to other forms of supervision and inspection by the Department of Science & Technology Development.

If there is a major change in the course of the scientific research project/research topic (such as major modification of the research program, adjustment of key project personnel, early termination of the research project due to force majeure, etc.), the project leader should timely submit the relevant change explanation materials to the Office of Scientific Research Management of the Department of Science & Technology Development and fill out the *Form of Project Change Request of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences*, detailing the causes of such major events and proposing corresponding solutions. The project/research topic should be implemented according to the reply instructions to the changes after the Department of Science & Technology Development submits the materials to the superior competent department for review and filing and obtains the formal approval. The project/research topic principle investigator, who suspends or delays the project with no excuse and fails to accept the coordination and management of the Department of Science & Technology Development to result in the failure of the project/research topic completion on schedule, should bear all consequences arising from this according to the relevant project/research topic management system of the superior competent department. If budget adjustments should be made during the implementation of scientific research projects/research topics, the project leader should timely submit the relevant budget adjustment materials to the Department of Science & Technology Development and the Public Finance Department to detail the reasons for the budget adjustment and propose the corresponding adjustment plan. For a project/research topic mainly applied by the SIAT, after it is reviewed by the Department of Science & Technology Development, it will be submitted to the project/research topic superior competent department. It will be implemented according to the instructions after its formal approval. For a project/research topic that the SIAT participates in application, after it is reviewed by the Department of Science & Technology Development, it will be submitted to project/research topic undertaking unit that will review and submit it to the project/research topic superior competent department. It will be implemented according to the instructions after its formal approval. The project/research topic principle investigator, who adjusts budget without review by the Department of Science & Technology Development to result in the failure of the project/research topic completion on schedule, should bear all consequences arising from this

according to the relevant project/research topic management system of the superior competent department.

The project/research topic principle investigator, who suspends or delays the project with no excuse to result in the failure of the project/research topic completion on schedule, should bear all consequences arising from this according to the relevant project/research topic management system of the superior competent department.

Outsourcing may occur during the implementation of scientific research projects/research topics. Outsourcing of projects/research topics includes scheduled outsourcing and unscheduled outsourcing. Scheduled outsourcing refers to the outsourcing which is defined in the project application stage or before the signing of the contract and approved by the project/research topic commissioning unit. Otherwise, it belongs to unscheduled outsourcing. The scheduled outsourcing is managed according to the requirements of the commissioning unit. Unscheduled outsourcing should be implemented according to the *Management Regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Task Outsourcing of Scientific Research Project*.

Chapter 7 Acceptance Management

Article 18 In principle, the project conclusion and material archiving should be completed within six months after the termination of the project/research topic assignment or contract. The Department of Science & Technology Development will issue acceptance reminders and related acceptance requirements three months before the project/research topic assignment or contract expires. All institute and project/research topic principle investigators, finance department and other relevant personnel should prepare for the conclusion of the projects/research topics according to the conclusion requirements. The account of the concluded project/research topic should not be used again in principle. If it is expected that the project/research topic will fail to apply for conclusion on schedule, the project/scientific research principle investigator should fill out the *Form of Project Change Request of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* to explain the specific reasons and submit it to the Department of Science & Technology Development and the principal leader of the SIAT for approval within six months before the project/scientific research assignment or contract is due. The project/research topic will not be postponed until the Department of Science & Technology Development, requesting instructions from superior competent department if necessary, obtains the extension certificate issued by it or the extension agreement signed by the two parties according to the actual situation. If the superior competent department cannot issue the extension certificate or does not sign the extension agreement, the project/research topic principle investigator should conclude and file the project/research topic according to the normal procedures.

If the Government Sponsored project/research topic fails to pass the conclusion or enters into reconsideration, the project leader and the members of the project team will be included in the abnormal list of scientific research integrity of the SIAT.

If the conclusion fails, the project leader will not be accepted to apply for a project at this level again and he/she will be disqualified for the annual assessment for excellence within one to three years from the date of the acceptance conclusion issued (at least one year, subject to the specific requirements of the superior competent department).

A project member whose number of failure acceptance among all projects that he/she participates in reach three will be treated according to the above method.

A project leader whose number of reconsideration among all projects that he/she is responsible for reaches three will be treated according to the above method.

When a project left in the SIAT by a resigned or part-time person fails to pass the conclusion or enters into reconsideration, if the a principal is designated in the SIAT, such a principal and the project team members will be included in the abnormal list of scientific research integrity; if there is no designated principal in the SIAT, the chairman of the center and the project team members will be included in the abnormal list of scientific research integrity, and be treated according to the above method.

For a project leader whose acceptance/assessment conclusion is excellent, he/she will be recommended to apply for various types of quota projects and science and technology awards in priority within one year from the date of the acceptance/assessment concluded if he/she meets the basic application conditions.

Chapter 8 Archive Management

Article 19 The archive management of project/research topic should be implemented according to the *Management Regulation of SIAT on Science and Technology Research Archives*.

Chapter 9 Bylaw

Article 20 These Measures are interpreted by the Department of Science & Technology Development and come into effect as of the date of promulgation.