

**Management Measures of Shenzhen Institute of Advanced
Technology, Chinese Academy of Sciences on Scientific Research
Project Budget Adjustment (Trial)**

Article 1 To further implement the reform policy of "authorization, management, and service" for scientific research funds, and standardize the budget adjustment of financial research projects of the SIAT, according to the *Opinions on Further Improving Policies of Fund Management of Central Government Funded Scientific Research Project* (ZBF [2016] No. 50) issued by the General Affairs Office of the CPC Central Committee and the General Affairs Office of the State Council, the *Management Measures of Chinese Academy of Sciences on Institute-level Research Project Funds* (2016, No. 169), the *Management and Supervision Measures of Department of Finance of Guangdong Province and the Guangdong Audit Office on Provincial Financial Scientific Research Project Funds* (YCG [2019] No. 5), the *Management Measures of Shenzhen Science and Technology Research and Development Funds* (issued by Shenzhen Science and Technology Innovation Commission and Finance Bureau of Shenzhen Municipality on July 16, 2019), combined with the actual situation of the SIAT, these Measures are hereby formulated.

Article 2 These Measures apply to all kinds of scientific research projects obtained in the name of the SIAT.

Article 3 To maintain the rigidity of the budget, the budget of scientific research projects should be adjusted based on the actual needs of the research task, with clear adjustment reasons and adjustment proposal, and the principles of "clear needs, sufficient reasons, reasonable proposal, compliance authority" and "submitting report for approval before use", in conjunction with project performance evaluation within the task execution cycle. In principle, the adjustment of budget for each project within the entire execution cycle should not exceed once every year.

Article 4 Responsibilities of Scientific Research Projects' Budget Adjustment and Approval

(1) Research topic (unit) principal is the directly responsible person of adjusting budget of research topic funds and responsible for the authenticity and rationality of the budget adjustment proposal;

(2) The scientific research management department is responsible for reviewing the relevance and rationality of project information to be adjusted, the total budget data amount, the adjustment items and the adjustment amount, organizing special demonstration, and approving the budget adjustment within the extent of its competence;

(3) The financial management department is responsible for reviewing the financial policies of the total budget data and the adjusted amount and the compliance of the provisions of the SIAT and making a whole process management for the budget implementation.

Article 5 If the SIAT acts as the research topic undertaking unit, the budget adjustment should be approved by the relevant department of the SIAT; if the SIAT acts as the research topic cooperation unit, the budget adjustment must also be submitted to the research topic undertaking unit for approval.

Article 6 In case of adjusting total research topic budget amount or changing the research topic undertaking unit, the research topic (unit) principal should submit the application to the scientific research management department which will, after its review, forward this application to the project competent department for approval according to the original procedure.

Article 7 If budget adjustment only involves allocation between research topic cooperative units rather than total budget amount, the research topic (unit) principal should submit application to the scientific research management department which will, after its review, forward this application to the project competent department for approval.

Article 8 If the total research topic budget amount does not change, the adjustment scope and limitation of the account items of the direct expense budget are as follows:

(1) Among the direct expenses, the budgets for materials, testing, assaying and processing, fuel power, publishing/literature/information dissemination/intellectual property affairs and other expenses can be adjusted according to actual needs.

(2) Among the direct expenses, the budget for equipment should only be decreased rather than increased in principle. The deduction amount can be used for other direct expenses of the research topic, referring to the project competent department's standardized management measures of funds for implementation.

(3) Among the direct expenses, the budget for travel expenses, conference expenses, and international cooperation and exchange expenses should only adopt reciprocal allocation or decrease rather than increase in principle. The deduction amount can be used for other direct expenses of the research topic.

(4) Among the direct expenses, the budget for labor fees and expert consulting fees will not be increased in principle.

Article 9 The indirect expenses in the research topic funds should not be adjusted in principle.

Article 10 If the total research topic budget remains unchanged and meets the provisions of Article 8, the authorities to adjust the direct expense budget account items are as follows.

(1) For a project with the total budget amount below 1 million yuan, the research topic (unit) principal is responsible for approving the adjustment and submitting it to the scientific research management department for review and filing.

(2) For a project with the total budget amount above 1 million yuan (inclusive), if the adjustment amount of budget is less than 500,000 yuan, the research topic (unit) principal is responsible for approving the adjustment and submitting it to the scientific research management department for review and filing; if the adjustment amount of budget is greater than 500,000 yuan (inclusive), the research topic (unit) principal is responsible for submitting application to the scientific research management department, and submitting it to the institute leader in charge of scientific research for approval after submitting it to the scientific research management department and the finance management department for review.

(3) If the management of the project competent department has clear provisions to the adjustment, it shall be implemented according to the regulations.

Article 11 For account items that the fund management measures do not authorize the research topic undertaking unit to approve the budget adjustment

the budgets will not be adjusted in general. If it is necessary to make adjustment, the research topic (unit) principal should submit the application, after review by the scientific research management department and the finance management department, the scientific research management department forwards application to the project competent department according to the original path for approval.

Article 12 If the budgets of horizontal scientific research research topics or the SIAT's research topics need to be adjusted, the project management department is responsible for approval. If the client of a horizontal scientific research research topic has clear budget, the adjustment cannot be carried out until the client agrees to do so.

Article 13 The process for scientific research fund budget adjustment: The research topic (unit) principal proposes the written application, the unit, related functional departments, and institute leaders make review and approval within their extend of competence, the scientific research management department revise the project budget information upon the approval opinions, and save the approval opinions and materials as the project documents.

Article 14 The scientific research management department, the financial management department and the research topic (unit) principal of the SIAT should undertake their respective responsibilities in adjusting the budget of the scientific research project, and investigate corresponding liability of relevant units and individuals who cause losses due to illegal adjustment.

Article 15 These Measures should be interpreted by the finance department and scientific research management department, and executed as of the date of promulgation; 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 refers to these Measures for implementation.)