

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

Article 1 To further implement the reform policies of "authority, management, and service" to advance the reform of the "contractual responsibility system" for the use of project funds, actively create a healthy and orderly atmosphere for scientific research and fully stimulate the innovation and creativity of scientific researchers according to the provisions set out in the *Notice of Opinions on Expanding Autonomy of Universities and Research Institutes in Relation to Research* (GKFZ [2019] No. 260) and *Several Opinions on Further Improving Policy of Fund Management of Central Government Funded Scientific Research Projects* (ZBF [2016] No. 50), and the requirements set out in *Notice of the Chinese Academy of Sciences on Pilot Reform of Management of Scientific Research Funding "Contractual Responsibility System + Negative List"* (TC ZI [2019] No. 58), the relevant matters concerning the use of the "contractual responsibility system" for the funds of the pilot project of the SIAT are hereby stipulated as follows:

Article 2 These measures are applied to all kinds of scientific research topics and special projects that are explicitly set out to try out contractual responsibility in the management measures of special scientific research funds of the state, the Chinese Academy of Sciences, and local governments and reviewed and managed by the scientific research management departments of the SIAT, including but not limited to the National Science Fund for Distinguished Young Scholars, the Basic Frontier Scientific Research Program of China Academy of Sciences, the Guangdong Basic and Applied Basic Research Foundation, etc.

Article 3 Implementation Principles:

1. Full Authorization. Taking the goal of facilitating the development of scientific research, in line with the principle of "making authorization and simplicity whenever possible", fully trust the majority of scientific researchers to enhance their sense of gain.

2. Combination of Authority and Management. It is necessary to clarify the boundary of rights and liabilities based on full authorization. With the principles of being "in line with policies, relevant to goals, and economical and reasonable", strengthen supervision and management, develop the management mode of "abiding by the rules, assuming responsibility, conducting scientific spot checks, and inevitably punishing violations", impel information disclosure, and accept supervision and inspection to prevent scientific research funds from being acquired by fraud, misappropriated, or wasted, thus ensuring that the dividends of reform are truly used to optimize the scientific research environment.

3. Collaborative Advance. By thoroughly understanding and implementing the substance of reform, each unit should strengthen responsibilities, broaden minds, innovate methods, and establish sound rules and regulations to ensure that the autonomy of project fund use is indeed delegated to appropriate subordinates.

Article 4 The implementation of the research topic (unit) responsible person commitment system is the implementation premise of the project fund contractual responsibility: The research topic (unit) responsible persons are required to sign the Letter of Commitment to pledge to respect the laws of scientific research, carry forward the spirit of scientists, abide by the requirements of scientific ethics, work style, academic integrity, and conscientiously carry out scientific research; all project funds will be used for expenditures related to the research work of the project according to the principle of "scientific research-related, honest and trustworthy, and strict economy", without using funds against the "negative list", retaining for own use, misappropriation, embezzlement, or expending unrelated purposes to scientific research.

Article 5 The scientific research project's contractual responsibility is coupled with the execution, which can be canceled or terminated as the case may be.

Article 6 Internal Management of Fund Under Contractual Responsibility

The internal budget shall be prepared for the research topic of the fund contractual responsibility system according to the application requirements and the approval of the task (contract) letter.

1. The internal budget of the research topic implementing the fund contractual responsibility system is divided into direct fund and indirect fund, of which direct fund includes equipment cost, scientific research materials and service cost, human resources cost, and miscellaneous costs, which cannot be composed only of human resources and miscellaneous costs in principle, while total indirect costs are prepared according to the proportional ceiling set by the normative fund management measures for each type of projects.

The internal budget of the contractual responsibility research topics should be prepared by the research topic unit and submitted to the finance management department and the scientific research management department for review and record. The finance department shall be responsible for budget implementation and management.

2. When the fund contractual responsibility management research topic is concluded, the research topic (unit) responsible person organizes to prepare the final accounts of the project funds according to the actual use and reports to the project competent department after review by financial and scientific research management departments.

3. The contractual responsibility research topics during the execution should be implemented regarding these measures.

Article 7 Supervision and Inspection

The SIAT carefully reviews the expenditure of the research topic funds. During the interim evaluation and conclusion acceptance, the SIAT should disclose the final account of the project funds and the project conclusion (result report) within the unit to accept the supervision of the majority of scientific researchers and the regular spot check of the use of funds and the management of the unit by the competent department of the project.

Units, departments, and relevant personnel that do not manage and use project funds according to the regulations, including illegal acts such as retaining for own use, misappropriation, and embezzlement of project funds, should be seriously punished according to the relevant laws and regulations.

Article 8 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).