

温州肯恩大学办公室文件

温肯大办〔2017〕5号

温州肯恩大学办公室

关于印发《温州肯恩大学 SpF/SpS 项目管理 办法（试行）》的通知

各部门：

《温州肯恩大学 SpF/SpS 项目管理办法（试行）》

已经校领导同意，现予印发。

温州肯恩大学办公室

2017 年 4 月 27 日

温州肯恩大学 SpF/SpS 项目管理办法 (试行)

第一章 总则

第一条 为了加强和规范校内科研项目管理，鼓励和支持广大教职员工和学生开展科学研究，提升学校科研创新能力和学科建设水平。根据国家和温州市有关规定，结合学校实际情况，制定本办法。

第二条 校内科研项目包括学生拍档教师项目 (SpF 项目) 和学生拍档职工项目 (SpS 项目)。原则上，每个项目资助金额不超过 3 万元。项目类别及资助金额根据学校科研事业发展需要及时调整。

第三条 SpF/SpS 项目资助经费主要来源于学校预算拨款，同时积极接纳社会人士和组织捐款。

第四条 已获得校外各级各类科研资金支持的项目可以继续申报 SpF/SpS 项目。已列入 SpF/SpS 项目的，鼓励申报校外科研项目。同时根据《温州肯恩大学科研项目经费配套资助办法》和本办法，同一项目享受学校资金支持的，其资助总额按就高原则给予安排，不能累加重复享受。

第五条 学校科研办公室负责 SpF/SpS 项目的申请受理、评审立项、中期评估、结题等日常管理工作；学校财务部门负责科研项目的预算和财务管理工作。

第二章 项目申请、评审及立项

第六条 学校鼓励教职工指导学生参加学校 SpF/SpS 项目。学校教职工及学生具备下列条件的，均可申请 SpF/SpS 项目资助。

（一）教职工应同时具备下列条件：

- 1、温州肯恩大学全日制教职员工；
- 2、具有独立开展研究和组织开展研究的能力，能够承担实质性研究工作；
- 3、具有硕士以上学位，或具有 Lecturer II 或中级以上职称。
- 4、其他具体要求。

（二）学生应同时具备下列条件：

- 1、温州肯恩大学全日制在校生；
- 2、GPA 3.0 以上；
- 3、其他具体要求。

第七条 SpF/SpS 项目的申请工作原则上一年组织一次。

第八条 申请者根据 SpF/SpS 项目申报文件的要求确定研究课题，并按照申报文件要求在规定期限内向学校科研办公室提交 SpF/SpS 项目申报表、项目计划书以及其他相关材料。

第九条 科研办公室按本办法有关规定和项目申报文件的有关要求，对项目申请材料进行形式审查，符合申请条件的，予以受理。有下列情形之一的，不予受理：

- （一）申请人不符合本办法规定条件的；
- （二）申请材料不符合申报文件要求的；

(三) 项目申请中有弄虚作假等学术不端行为的;

(四) 涉及人类的研究项目未进行 IRB 独立审查的。

第十条 形式审查通过的项目, 提请学校科研委员会相关专业评审委员进行初审。

第十一条 经审查评定的项目报请学术副校长审核确认拟资助项目及资助额度。

第十二条 拟资助项目须公示 5 个工作日。无异议的, 学校以正式文件方式公布资助信息并给予立项。

第三章 项目中期评估及变更

第十三条 SpF/SpS 项目实行中期评估查制度, 重点评估项目是否按计划开展, 研究进度是否符合要求, 是否有阶段性研究成果, 经费使用是否合理, 是否存在学术不端行为等。对于没有进行实质性研究的项目、无故不接受中期评估或中期评估不合格的项目, 学校将立即终止该项目。

第十四条 SpF/SpS 项目实行重要事项变更审批制。项目执行过程中, 项目负责人、项目研究目标、内容、期限、资金预算等事项发生重要变更的, 需向科研办公室申请进行变更。经批准同意后, 项目方可继续实施。

第十五条 凡有下列情形之一者, 学校可撤销或终止该项目:

(一) 未经批准同意, 项目研究目标、内容与原项目研究计划书严重不符的;

(二) 存在剽窃他人成果等学术不端行为的;

(三) 逾期不提交延期申请, 或延期到期仍不能完成的;

(四) 项目经费开支严重违反财务制度的;

(五) 需要进行 IRB 审查的项目未能通过申请或审查的。

第十六条 无特殊原因被撤销或终止项目的项目负责人两年内不得申请 SpF/SpS 项目。

第四章 项目结题

第十七条 SpF/SpS 项目完成后,项目最终成果应及时提请结题申请。成果评审工作由科研办公室统筹安排。

第十八条 SpF/SpS 项目符合下列基本条件的,可申请成果评审并结题。

(一) 已经完成立项时批准的项目计划书中明确的研究任务,最终成果已经完成,且成果形式与原计划或经批准变更的形式相符;

(二) 最终成果由项目负责人主持完成,不存在知识产权等方面的争议;

(三) 按照学校有关财务管理制度规范使用资助经费。

第十九条 SpF/SpS 项目最终成果的评审一般聘请学校科研委员会委员或校外专家进行评审。若成果评审为“不合格”的,允许项目组在半年内对成果进行修改,并重新申请评审结项。重新评审仍不能通过的,予以撤项处理。

第二十条 SpF/SpS 目的研究成果达到下列条件之一的,可以申请免于评审:

(一) 项目最终成果为学术论文或专著,并且学术论文已经发表或专著已在出版社正式出版;

(二) 项目最终成果为专利、计算机软件著作权等职务发明创造的;

(三) 项目获得国家级、省部级、市级各类科研资金资助或科研成果奖励的;

第二十一条 最终成果评审通过后或免于评审申请通过审核后, 办理项目结题手续。

第五章 项目经费管理

第二十二条 SpF/SpS 项目资助经费由项目负责人负责支配, 不得用于与项目研究无关的开支。

第二十三条 SpF/SpS 项目资助经费在学校日常运营经费中支出。其使用管理按照《温州肯恩大学科研项目经费管理办法(试行)》执行。

第二十四条 经批准, 参加校内 SPF/SPS 项目的职工、学生参加境外享有一定声誉的学术会议、学术竞赛的国际交通及住宿费用按 80%比例、每人最高 8000 元的标准给予补助。该项补助由学校教育发展基金会进行资助。

第六章 附则

第二十五条 此前学校其他相关制度与本办法规定不一致的, 以本办法为准。本办法由科研办公室负责解释。

Wenzhou-Kean University Regulations for Internal Scholarship of SpF/SpS (Interim)

Chapter I

General Principles

Article 1 The regulations of on-campus research projects are formulated to specify and standardize the management of research projects, to mobilize faculty, staff and students to carry out research at Wenzhou-Kean University (WKU), to improve faculty and students' research skills and innovation abilities, in accordance with the relevant national, provincial and municipal provisions, and actual situation of WKU.

Article 2 The Office of Research and Sponsored Programs (ORSP) proposes that internal scholarship includes two different categories: (1) The Scholarship of Student Partnering with Faculty (SpF) Research Programs; (2) The Scholarship of Student Partnering with Staff (SpS) Research Programs. Generally, Scholarship of SpF and SpS shall be no more than 30,000 yuan.

Article 3 The main sources of internal scholarship for research projects are university budgetary allocation and social donations.

Article 4 Applicants whose projects have been sponsored by national, provincial or municipal organizations can apply for internal scholarship of SpF/SpS; vice versa, applicants whose projects have been supported by WKU are encouraged to apply for external grants. The same project cannot receive multiple awards according to

Wenzhou-Kean University Interim Regulations on Counterpart Funds for Research Programs and this regulation, and the award for the project is subject to the maximum amount.

Article 5 ORSP is responsible for administering internal research awards, providing oversight for sponsored SpF/SpS, and ensuring compliance with WKU policies and regulations. The Finance Department is responsible for the budget of internal research awards and related financial affairs.

Chapter II

Application, evaluation and authorization

Article 6 Eligibility

Faculty and Staff must:

- 1) Be full-time faculty or staff at WKU;
- 2) Be capable to carry out research project independently, and undertake substantive research tasks;
- 3) Have master's degree or above, or be Lecturer II or intermediate level or above;
- 4) Fulfill other specific requirements as may be stipulated as part of a grant.

Students must:

- 1) Be full-time students at WKU;
- 2) GPA > 3.0;
- 3) Other specific requirements.

Article 7 The application for internal scholarship of SpF/SpS is organized by ORSP once a year.

Article 8 Applicants can apply for internal scholarship of SpF/SpS based on the notice and requirements within the stipulated time. Applicants should submit application, proposal and other related materials to ORSP.

Article 9 ORSP will carefully examine all the proposal forms. Proposals will not be accepted to be reviewed in the next round if:

- (1) The applicants are not qualified for application;
- (2) Applicants' materials are not qualified for requirements;
- (3) There is academic misconduct in the application;
- (4) The proposals involving human subjects are not subject to an independent IRB review.

Article 10 Projects qualified in the form examination will be evaluated by the WKU Research Committee with comments and recommended funds.

Article 11 The Vice Chancellor for Academic Affairs will evaluate the projects that are reviewed and recommended by the WKU Research Committee, and finally decide the sponsored projects.

Article 12 All approved projects will be announced for 5 working days. The project will be officially approved and initiated when it has no objection during the period of announcement.

Chapter III

Mid-term evaluation and project change

Article 13 Each project awarded internal scholarship is required to be evaluated in the mid-term, which focuses on whether the project is carried out according to the

timetable, whether research progress is consistent with the requirements, whether the project achieves the initial result, whether the use of funds is reasonable, whether there is academic misconduct, etc. Projects without substantive research tasks, or mid-term evaluation report, and projects which fail to pass the mid-term assessment test, will be immediately terminated.

Article 14 Each project is allowed to change when important matters within the project are changed, such as principal investigator, research objective, content, due time, and budget, etc. The principal investigator is required to submit the change notice to ORSP. The changed project can continue to be carried out with the approval from ORSP.

Article 15 ORSP on behalf of WKU is entitled to revoke or terminate the project if:

- (1) The research objective and content is inconsistent with the original proposal if there is no approval of change;
- (2) There is plagiarism or other academic misconduct;
- (3) The application for extension is not submitted to ORSP before the due time, or project is not completed within the extended time.
- (4) The expenditure of the project violates WKU financial policies and regulations;
- (5) The project required IRB approval but failed to apply and obtain such approval.

Article 16 Principal investigators whose projects are revoked or terminated cannot apply for internal scholarship again in two years.

Chapter IV

Conclusion of research projects

Article 17 A final report of each project shall be submitted to ORSP on time. The assessment of the outcome of each project is coordinated by ORSP.

Article 18 The principal investigators can apply for the final assessment and conclusion of the project in the following situations:

(1) The project is completed according to the research proposal and the tasks that are clearly defined in the research plan. The outcome is presented as mentioned in the original proposal or approved changed plan.

(2) The project is completed and concluded by the principal investigator, further, there is no dispute over intellectual property rights.

(3) The funding is used in accordance with WKU financial policies and regulations.

Article 19 In general, the outcome of each project is evaluated by WKU Research Committee or other experts off campus. An unqualified project is allowed to be modified and re-apply for reviewing within six months. A project which fails to pass the re-assessment test shall be revoked or abolished.

Article 20 Such projects can apply for exemption from final evaluation as follows:

(1) The outcome of the project is published as an academic paper or monograph by a reputable publisher;

(2) The outcome of the project is a patent, computer science copyright or other service invention or creation;

(3) The project is sponsored by a national, provincial or municipal organization or

awarded for science and technology achievement.

Article 21 Investigators can start to complete the conclusion of the project when the final outcome is verified and qualified.

Chapter V

Funds Management

Article 22 The principal investigator is responsible for expenditure of research funds. Funds cannot be used for irrelevant activities.

Article 23 The scholarship shall be implemented in strict accordance with the *Wenzhou-Kean University Regulations on Funds for Research Project (Interim)*.

Article 24 Staff and students can be sponsored with 80% of their international transportation and accommodation in attending reputable overseas academic conferences and academic competitions by the University Foundation. The maximum amount is 8,000RMB Yuan per person.

Chapter VI

Supplemental Article

Article 25 Other established provisions that are inconsistent with the *Wenzhou-Kean University Regulations for Internal scholarship for Research Projects (Interim)*, shall be subject to this one. ORSP reserves the right to interpret and explain the regulations.

Wenzhou-Kean University