

Guangdong Technion Israel Institute of Technology (GTIIT) Measures for the Management of Research Projects

Article 1 To regulate the management of research projects and promote the healthy and sustainable development of scientific research at Guangdong Technion Israel Institute of Technology (GTIIT), we formulate the Measures based on the actual situation of GTIIT in line with the *Several Opinions of the State Council on Improving the Management of Central Government-funded Research Projects and Their Funding*, the *Notice of the State Council on Several Measures for Improving Scientific Research Management and Performance*, and the *Several Opinions Issued by the General Office of the CPC Central Committee and the General Office of the State Council on Further Strengthening the Promotion of Research Integrity*.

Article 2 The research projects herein are divided into vertical projects and horizontal projects. To be specific, the former refers to science and technology projects directly supported by the state, relevant ministries, and local governments or sponsored by them through units responsible for the projects; the latter refers to scientific research projects such as technology development, technology transfer, technology consulting and technology services commissioned by enterprises, institutions, social organizations, and individuals in and outside China.

Article 3 Functional departments, including the Research, Informatics and Graduate Studies Office (RIGS), the Academic Human Resources Office (AHO), the GTIIT Technology Entrepreneurship Center (GTEC), the Finance Office, and the Logistics Department, will take their respective managerial responsibilities for the research projects.

1. RIGS is responsible for centralized management of research projects, whose duties cover pre-project planning and incubation, project application, project establishment, phased inspection, project acceptance and closing, project supervision, etc. It will guide each faculty (program) on research project management, oversee and inspect their work, and coordinate their efforts to solve major problems in project implementation. It will cooperate with higher management departments in project inspection and acceptance, and project achievement management.
2. AHO is responsible for the management of talent projects, including project application, project establishment, phased inspection, project acceptance and closing, and project supervision. It will coordinate efforts to solve major problems in project implementation, and cooperate with higher management departments in project inspection and acceptance.
3. GTEC is responsible for corporate relationship management in horizontal projects, and will manage the project results together with RIGS.
4. The Finance Office is responsible for project funds management and accounting. It will guide principle investigators on planning project budgets and reviewing the final accounts, and instruct and supervise principle investigators to make sure they use research funds within their authority in accordance with the project proposal or contract, as well as applicable financial regulations.
5. The Logistics Department is responsible for the management of fixed assets formed during the execution of research projects.

Article 4 Each faculty (program) is the fundamental project management unit, responsible for tracking the project progress, overseeing budget execution, and allocating resources to safeguard project implementation according to the characteristics of the discipline and the actual needs of the project.

- Article 5** A principle investigator is the person directly responsible for a research project. He/She will carry out the project in accordance with the relevant project management regulations and the project contract (project charter), and take full responsibility for project process management. He/She shall make sure that the project is scientific and rational, all expenditures are authentic and properly used, and the research findings are authentic, and shall accept the supervision and inspection by relevant national departments and GTIIT.
- Article 6** RIGS is responsible for collecting, organizing and releasing all kinds of national and industrial information about scientific research, releasing research information to the faculty, reviewing the project applications submitted by the faculty, and organizing and coordinating the work of project validation and application. AHO is responsible for collecting, organizing and releasing talent project information, reviewing talent project applications, and organizing and coordinating the work of project validation and application.
- Article 7** Principle investigators shall submit a project internal approval application according to GTIIT's research project application process and specify whether the project involves an ethical review. If yes, they shall also submit an ethical review application form. The Ethical Review Committee will then perform an ethical review on the project and issue a certificate of approval if the project passes the review. The project internal approval application shall be submitted to RIGS or AHO for review and then to the Program Head and the Pro-Vice Chancellor for Academic Affairs for approval.
- Article 8** Principle investigators shall prepare the project application (or technical contract) materials in accordance with the relevant schemes, plans, project guidelines, application methods or the client's needs, and carry out project validation, pre-approval and application in accordance with the requirements of GTIIT.
- Article 9** For research projects subject to application restrictions, the Pro-Vice Chancellor for Academic Affairs shall arrange the allocation of quotas and the internal evaluation and recommendation, and RIGS and/or AHO shall recommend projects after an internal evaluation according to the requirements of the competent department.
- Article 10** The contracts of horizontal research projects shall comply with national regulations including the Contract Law of the People's Republic of China as well as the relevant regulations of GTIIT. GTEC shall carry out a technical feasibility and intellectual property review; the legal person of GTIIT or its authorized Pro-Vice Chancellor for Academic Affairs shall sign the contracts on behalf of GTIIT; RIGS and the University's Office shall be responsible for the compliance review of the project contracts and affix the official seal of GTIIT.
- Article 11** For projects jointly applied by researchers of GTIIT and external units, a scientific cooperation agreement shall be signed. The agreement shall specify the source of tasks, division of research tasks, collaborators, allocation of funds, and ownership of intellectual property, and be submitted to the university office and relevant university leaders for approval after review by RIGS.
- Article 12** Principle investigators shall comply with biosafety regulations and ethical norms, strictly adhere to national confidentiality regulations, and not disclose state secrets, commercial secrets and personal privacy. They shall also comply with research integrity, and shall not outsource or subcontract the research tasks to others in violation of relevant regulations, or use the project for the personal benefit of any related party.
- Article 13** Principle investigators shall sign and report the project charter (contract) within the specified time frame in accordance with national laws and relevant regulations on research project management, submit it to the project management department after review by RIGS/AHO, and carefully fulfill the terms and conditions in the project

charter (contract). Without a valid reason, those who do not sign the project charter (contract) before the deadline are considered to have automatically abandoned the project.

Article 14 During project implementation, if adjustments to any significant matter are needed, the principle investigator shall promptly report to RIGS and/or AHO, and follow the relevant procedures and requirements of the competent department or the client to make a change request, and make adjustments only after obtaining the approval of the competent department or the client.

Article 15 RIGS and/or AHO shall keep abreast of the latest progress of projects, and urge the principle investigators to complete the research tasks on schedule and fill in and submit the implementation report on time. If a principle investigator fails to complete the tasks for each stage according to the project charter, RIGS and/or AHO shall report the situation to the dean of the faculty (program), and ask the Finance Department to suspend the research performance bonus of the principle investigator until he/she completes these tasks on time.

Article 16 The relevant papers, publications, and research reports published by a principle investigator shall be faithfully marked according to the regulations of the project management department or the client.

Article 17 The principle investigator shall report to GTEC in time and take effective measures to protect intellectual property rights such as applying for patents or registering computer software copyrights before disclosing the technology by publishing papers, evaluating the results, demonstrating the product, or by other means.

Article 18 After a project is completed and accepted, the project evaluation and the filing and declaration of the research results shall be carried out in a timely manner.

Article 19 GTIIT shall own the intellectual property rights of the results of all research projects, except otherwise specified in the project contract.

Article 20 Project funds shall be managed in a unified way by GTIIT's finance department in accordance with *GTIIT's Measures for the Management of Research Funds*.

Article 21 If a principle investigator terminates the employment (appointment) with GTIIT due to job transfer or resignation, he/she shall go through the change or termination procedure according to the requirements of the competent department (or the negotiated agreement with the client) before going through the separation procedure.

Article 22 Principle investigators shall organize project acceptance and inspection on time and make sure the project is successfully closed in accordance with the requirements of the funding agency or the client.

Article 23 When a project cannot be completed, the following procedures will be followed:

1. If a vertical research project cannot be completed, the principle investigator shall submit an application for project termination in time to his/her faculty (program) for review, and, after obtaining the approval from the faculty (program), submit it to RIGS or AHO which will then go through the termination procedures according to the requirements of the competent department. The termination becomes effective upon approval of the competent department. The principle investigator shall bear the corresponding responsibility arising from the termination of the project. GTIIT will hold him/her accountable and take appropriate measures, including but not limited to suspension of annual research performance bonus and recovery and withdrawal of awards, honors, and titles granted on the condition that he/she completes the project.
2. If a horizontal research project cannot be completed, the principle investigator shall negotiate with the client to solve the problem according to the contract. If the

termination of the project directly causes damage to GTIIT's reputation or interests, GTIIT will hold the principle investigator accountable and take appropriate measures.

Article 24 Research project management implements a timely reporting system for major matters. The principle investigator shall promptly inform RIGS and GTEC of any significant result (which involves high-level technology, is the first of its kind at home and abroad, or fills a gap, etc.) or technical product with a vast market potential produced during the execution or after the acceptance and completion of the project. GTEC shall summarize the research results, organize results appraisal, apply for scientific and technological awards at all levels, and make sure the results are successfully commercialized.

Article 25 The Measures shall come into force on the date of promulgation. RIGS reserves the right to interpret the Measures.

Appendix The notification from Guangdong Science and Technology Department about <Guangdong Province Provincial Level Project Acceptance and Inspection Regulation (Interim)>