

Translation



The following document lays out project management guidelines for Chinese Academy of Sciences projects designed to encourage the adaptation of technological breakthroughs for commercial or other practical use. The guidelines provide award money for projects that meet their deadlines and deliver demonstrable results, and withhold such funding for those that do not.

Title

Notice of the Chinese Academy of Sciences on the Publication of the "Project Management Measures for the Chinese Academy of Sciences Key Project for Transfer and Conversion of Scientific and Technological Achievements"

中国科学院关于印发《中国科学院科技成果 转移转化重点专项项目管理办法》的通知

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Source

Website of the CAS Bureau of Science & Technology for Development (中国科学院科技促进发展局). The Measures were published on November 15, 2016 and were uploaded to the website on January 18, 2018.

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<https://web.archive.org/web/20200514121119/http://www.std.cas.cn/ggl/201801/W020180118540274485973.doc>

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To all Chinese Academy of Sciences (CAS) subordinate organizations:

The Project Management Measures for the Chinese Academy of Sciences Key Project for Transfer and Conversion of Scientific and Technological Achievements are hereby issued to you. These Measures shall be implemented from their date of issuance.

Chinese Academy of Sciences

November 14, 2016

Project Management Measures for the Chinese Academy of Sciences Key Project for Transfer and Conversion of Scientific and Technological Achievements

Section 1 General Provisions

Article 1 The Chinese Academy of Sciences Key Special Project for the Transfer and Conversion of Scientific and Technological Achievements (the "Hongguang Special Project" ["弘光专项"]) is established pursuant to the *Implementation Plan for the Chinese Academy of Sciences Special Initiative for the Transfer and Conversion of Scientific and Technological Achievements into Practical Applications* ([2016] No. 37)

Article 2 The Hongguang Special Project is led by the CAS Bureau of Science & Technology for Development (S&T Development Bureau), which shall organize and implement the program in conjunction with the relevant departments of CAS headquarters and Chinese Academy of Sciences Holdings Co., Ltd. (Chinese Academy of Sciences Holdings).

Article 3 The Hongguang Special Project shall implement the project legal person responsibility system, wherein the legal representative of the organization undertaking a project (the "project unit") is wholly responsible for managing the specific implementation process of the project. The S&T Development Bureau only carries out evaluation and acceptance checks for a project's interim phase achievements and final targets. Based on the results of evaluations, project funds will be dispersed to the project unit, for its coordinated use, following a phased or one-time post-subsidy award approach.

Section II Project Selection

Article 4 The Hongguang Special Project will be aimed at the major needs of the nation and the main battleground of the national economy, and will focus on major strategic technologies and products that have already made breakthroughs and have considerable leading and driving effects. It will prioritize support for the transfer and conversion of major S&T achievements under CAS's Strategic Priority S&T Special Project and the "one-three-five" plans¹ of CAS' subordinate research institutes, and will strive to produce a number of major demonstrations of conversion engineering (转化工程) with clear benefits for the economy and society through technology integration, engineered development, and market-based application and extension.

Article 5 The S&T Development Bureau shall be responsible for soliciting project proposals throughout CAS for the Hongguang Special Project. Relevant departments of CAS headquarters shall be responsible for recommending achievements of the Strategic Priority Research Program, and CAS' subordinate research institutes shall be responsible for recommending major achievements obtained from the "one-three-five" plans of their respective organizations. S&T achievement transfer and conversion (科技成果转移转化)

¹ Translator's note: "One-three-five" refers to the one R&D direction (一个研发定位), three major breakthroughs (三个重大突破), and five key lines of training (五个重点培育方向) that each institute of the Chinese Academy of Sciences (CAS) should have every five years.

supported by the Hongguang Special Project must have already completed demonstration and verification of technical feasibility (technology readiness level [TRL] > 7).

Article 6 The S&T Development Bureau, together with relevant departments of CAS headquarters and Chinese Academy of Sciences Holdings, shall carry out due diligence on the solicited project proposals. It will propose a list of Hongguang Special Project candidate projects, and submit it to a Joint Meeting of the Special Initiative for the Transfer and Conversion of S&T Achievements into Practical Applications (the "Joint Meeting") for consideration, and will initiate the project establishment procedures after approval.

Section III Project Establishment Procedures

Article 7 On the basis of the previous due diligence, the S&T Development Bureau shall guide each project unit in preparing a "business plan." Project units shall be CAS subordinate research institutes with independent legal person status ("project legal persons"). The legal representative of a project unit may designate a project leader, with the project leader to be responsible for the project unit.

Article 8 The S&T Development Bureau, together with Joint Meeting member organizations, shall invite experts in relevant fields and industries to conduct feasibility demonstrations for the business plans of candidate projects. A project unit's legal representative and project leader shall both be present to participate in the demonstration and jointly take questions from experts.

In the demonstration process, Chinese Academy of Sciences Holdings shall offer its professional opinions and recommendations from an investor perspective. The Hongguang Special Project shall give priority in supporting projects in which the "Chinese Academy of Sciences S&T Achievement Transfer and Conversion Fund," or another fund established with the sponsorship or participation of Chinese Academy of Sciences Holdings, has decided to invest.

Article 9 The S&T Development Bureau, in consultation with the Bureau of Qualifications Protection and Financial Affairs, shall form a recommendation for project establishment, propose a post-subsidy plan for project funds, draft a project charter, and, together with the proposed project unit for implementing the contents of the project charter, report it to the Joint Meeting for approval.

Article 10 Following approval, the S&T Development Bureau and the project unit shall formally sign the project charter. In accordance with the requirements of the charter, the project unit shall use multiple methods to raise the funds required for achievement conversion and provide relevant facilitating support, and actively organize R&D, conversion and marketization teams to achieve predetermined targets according to the planned schedule.

Article 11 With regard to the transfer and commercialization of achievements that already have practical applications of a certain scale, and whose feasibility has been verified (TRL > 8), the Hongguang Special Project will mainly support their further extension and application to major problems that the nation urgently needs to solve, and that affect economic and social development. The project implementation period shall generally be 12-18 months, and a

one-time post-subsidy award will be granted based on the visibility level of the problem-solving.

With regard to achievements that have yet to be tested economically in practical applications, the Hongguang Special Project will support project units in selecting, for demonstration testing, technical issues that involve major public interests or major industries. The project implementation period shall generally be 18-24 months, and following evaluation, phased post-subsidy awards will be granted based on the results obtained.

Article 12 In principle, projects under the Hongguang Special Project program should have participation from superior social resources (社会优势资源). Project units shall be encouraged to form R&D consortia by joining with other CAS S&T organizations and enterprises invested in by CAS and its research institutes, and joining with social enterprises (社会企业) and relevant scientific research institutes, universities, etc., thereby strengthening interdisciplinary cooperation and promoting close linkage of the production chain with the investment chain.

Before implementing a project, the project unit shall sign a "project task sheet" or cooperation agreement with other participating entities, stipulating the ownership of intellectual property (IP) and achievements in the course of implementation, so as to protect the rights and interests of all parties.

Section IV Evaluation, Acceptance and Rewards

Article 13 For the Hongguang Special Project, the S&T Development Bureau shall implement personalized management by dedicated managers. Each project shall have one project manager, who will serve as the "representative of Party A" in communications with the project legal person and project leader, track the progress of the project, and provide necessary coordination services at all times.

Article 14 In accordance with the schedule prescribed in the project charter, the project manager shall organize an evaluation of project progress; or, based on a written request of the project legal person, carry out a one-time adjustment of the project charter, and organize the evaluation in accordance with the adjusted schedule. Following an adjustment, the total implementation period of a project with a one-time post-subsidy award shall not exceed 24 months, and the total implementation period of a project with phased post-subsidy awards shall not exceed 36 months.

Article 15 In the case of a project with a one-time post-subsidy award, the evaluation shall be combined with the final acceptance check, and shall be carried out in accordance with the following procedures.

(1) The project unit shall submit a project closure application, on its own initiative, within 30 days of the established project completion date. The application materials shall include a complete technical report, proof of implementation results, target acceptance check methods, and details on the use of funds.

(2) After the project manager has completed a formal review, the S&T Development Bureau, together with relevant departments, shall organize experts to conduct an evaluation of

the project completion results, verify whether technical problems have been resolved involving major public benefits or major industries and technologies that are urgently needed by the nation and that affect economic and social development, and form an evaluation opinion.

(3) The S&T Development Bureau shall arrive at a conclusion on the acceptance check based on the aforesaid evaluation opinion, propose its recommendation for post-subsidy award funds based on the impact and visibility of the project, and submit it to the Joint Meeting for deliberation. Upon approval of the deliberation result by the leadership of the CAS branch, the [CAS] Bureau of Qualifications Protection and Financial Affairs (条财局) shall, on that basis, pay the award funds to the project unit.

Article 16 For projects with phased post-subsidy awards, interim evaluations shall be added for each phase.

(1) The project unit shall submit written evaluation requests, on its own initiative, in accordance with the established completion deadlines for phase targets.

(2) The project manager shall organize interim evaluations (which exclude financial evaluation) in accordance with the procedures and methods stipulated in the project charter.

(3) For projects that achieve their targets in interim evaluations, the S&T Development Bureau will prepare budgets based on the project funding and post-subsidy plans filed in advance, and disbursements will be made to the project units following review by the Bureau of Qualifications Protection and Financial Affairs.

(4) Where projects do not achieve their targets in interim evaluations, the S&T Development Bureau shall come to an agreement with the project unit to terminate implementation, or implementation may be continued to the target point of the next phase for a combined evaluation, with combined awards if targets are achieved.

Article 17 For acceptance checks of projects in the Hongguang Special Project program, the following acceptance check conclusions shall be formed based on the evaluation results for the final project completion circumstances.

(1) Where all of the work contents of the project charter are completed, and the expected results (visibility and impact) are obtained, within the prescribed time limit, the evaluation is that standards are met, and the acceptance check is passed.

(2) Where the main work contents of the project charter are completed, but the expected results (visibility and impact) fail to be fully obtained within the prescribed time limit; or if the project's time limit and project contents are adjusted following approval, and the adjusted tasks are completed and the expected results are achieved, the evaluation is that standards are basically met, and the acceptance check is basically passed.

(3) Except in the aforementioned circumstance, in any case where the targets stipulated in the project charter fail to be achieved on time, the evaluation is that the standards are not met, and the acceptance check conclusion is not passed.

Article 18 For projects whose acceptance check is "passed," the Bureau of Qualifications Protection and Financial Affairs shall arrange for an audit to be conducted on the use of project

funds, including external resources actually in place, and will disburse award funds to the project unit based on the audit results; for projects whose acceptance check is "basically passed," a portion of the reward funds will be disbursed according to the circumstances; projects whose acceptance check is "not passed" cannot receive post-subsidies, and the project unit shall bear the risk of the upfront investment on its own.

Project units shall strictly follow the relevant financial rules and regulations of the State and CAS, and shall manage and use post-subsidy award funds properly.

Article 19 Project units are responsible for the truthfulness and accuracy of the acceptance check (evaluation) documents, materials and data provided. If any falsification or deception is discovered, the acceptance check shall not be passed, and fraudulently obtained reward funds shall be recovered.

Section V IP Management

Article 20 Project legal persons under the Hongguang Special Project shall have dedicated staff responsible for the work of managing their IP, or shall entrust the CAS Intellectual Property Operations Management Center (中国科学院知识产权运营管理中心) to exercise such responsibility, and shall properly carry out IP planning prior to project establishment, IP tracking and early warning during project implementation, and IP operations and protection after final acceptance.

Project (and participating) units shall be encouraged to entrust IP operations work to the CAS Intellectual Property Operations Management Center or the IP operations agency of Chinese Academy of Sciences Holdings, with rights and responsibilities agreed upon using marketized methods.

Article 21 Project units shall establish standardized archives for scientific data and S&T reports, establish mechanisms for the collection and sharing of project S&T resources, submit annual S&T reports in accordance with relevant national regulations, and report the relevant data and achievements of their projects. On this basis, the S&T Development Bureau shall establish and improve a database of Hongguang Special Project achievements, and shall achieve information openness and resource sharing.

Article 22 The S&T Development Bureau shall be obligated to organize propaganda on and promotion of the technology, products, patents, standards and other achievements of the Hongguang Special Project. Project (and participating) units shall actively participate in various exhibitions, fairs, matchmaking events, etc., held by CAS. Exhibits shall be marked with the words "Sponsored by the Chinese Academy of Sciences Key Special Project for the Transfer and Conversion of S&T Achievements" and the project number, and will serve as the basis for confirmation in evaluations and acceptance checks.

Article 23 For the transfer and conversion of spillover achievements from classified projects, and new achievements and IP formed in the course of their transfer and conversion, execution shall be in accordance with the *Secrecy Provisions on Science and Technology*.

Section VI Supplementary Provisions

Article 24 The S&T Development Bureau shall be responsible for interpreting these Measures.

Article 25 These Measures shall be implemented from the date of their issuance.

General Department, Chinese Academy of Sciences Published November 15, 2016
