

长春光机所国际合作项目基金管理办法
Fund Management Framework for International
Cooperation Projects of Changchun Institute of Optics, Fine
Mechanics and Physics, Chinese Academy of Sciences

总 则

为提升长春光机所国际科技合作水平，加快高技术人才培养与引进，促进国际技术转移转化、增强园区核心竞争力和影响力，特设立长春光机所国际合作项目基金（以下简称“国际基金”）并制订长春光机所国际合作项目基金管理办法（以下简称“管理办法”）。

General Provisions

The Changchun Institute of Optics, Fine Mechanics and Physics (CIOMP), Chinese Academy of Sciences (CAS), hereby establishes a fund for international cooperation (hereafter referred to as “International Fund”) and a management framework for this fund (hereafter referred to as “Management Framework”) in order to:

- improve international scientific and technological cooperation,
- accelerate the recruitment and training of high-quality personnel,
- promote international technology transfer, and
- strengthen the core competitiveness and influence of CIOMP.

第一条 国际基金主要面向本所各研究单元在基础与应用基础研究、关键技术突破和成果转移转化等需求而设立。

Article I The International Fund is established primarily to foster basic and applied research, key technical breakthroughs, wider knowledge transfer, and the transformation to end products of all research outputs of CIOMP.

第二条 国际基金支持条件与经费额度

Article II Conditions of Support and Expenditure Limits of the International Fund

(一) 支持条件

(I) Conditions of Support

1. 面向世界光电领域发展前沿，重点支持能够引领、促进我国光电技术学科发展的新概念、新原理、新方法研究；支持学科交叉、鼓励原始创新、开拓新的学科生长点；

Support is provided for research at the global frontier of optoelectronics. In the main, support is provided for research into new theoretical and theoretical underpinnings in optoelectronics or new research methods that facilitate and promote the development of optoelectronic-enabled technology in China, support interdisciplinary collaboration, encourage real innovation, and exploit new areas of growth in the discipline.

2. 面向国家重大需求，及能够充分发挥我所综合优势并有望产生国际一流水平、国内领先水平的重大工程应用；或解决制约工程产品研发水平的核心技术、核心工艺研究等；

Support is provided for research that attends to major national requirements, takes full advantage of CIOMP competitive advantages, has reasonable expectations of successful engineering applications at world-class and domestic leading levels, or resolves core barriers and constraints within the technology and research process or the successful launch of engineering products.

3. 面向国民经济主战场，能够促进或提升我国具有竞争力的光电相关技术和科研成果转移转化等；

Support is provided for research that helps key parts ~~battlefield~~ of the national economy and promotes the transfer and transformation of our optoelectronics technology and scientific knowledge.

4. 国际基金的项目周期原则上不超过 2 年；

Unless otherwise agreed, the project period for International Fund projects will be no more than 2 years.

5. 优先支持创新园建设的国际联合实验室、所内的创新研究室和具备较好国际合作基础的研究组。

The priority is to support the establishment of international joint laboratories by the Innovation Park, the Innovation Lab of CIOMP and any research team with a strong foundation in international cooperation.

(二) 经费额度

(II) Expenditure limit

1. 国际基金经费每年总额度为 1000 万元（10 项）；

The total expenditure amount of the International Fund is RMB 10 million (a maximum of 10 projects);

2. 国际基金，是用于开展海外合作作用的科研经费（其中可包含我方派出人员的部分生活补贴，根据双方约定并需在合作协议中标明，鼓励我方派出人员申请中科院或国家留学基金委公派访问学者或学生项目），科研经费中含各种手续费及外方单位收取的管理费等（外方单位收取的管理费应不高于总经费额度的 5%）。

The International Fund is a scientific research fund to enable and facilitate cooperation with international organizations. The Fund can be used, in part, for the living allowances of employees when overseas, as long as these are agreed in advance and included in the cooperative agreement. Employees posted overseas are encouraged to apply for the government-sponsored

visiting scholar or student program of the Chinese Academy of Sciences or China Scholarship Council); these programs include various commission charges and management expenses (which shall not be higher than 5% of the total expenditure amount) as charged by the overseas organization.

第三条 国际基金组织管理

Article III Management Organization of the International Fund

(一) 所务会是国际基金管理的决策机构;

(I) The Institute Affairs Board is the policy-making body for the management of the International Fund;

(二) 国际合作处是国际基金管理的具体职能部门, 负责项目指南编制、申请受理、立项、评审、监督管理、验收等工作;

(II) The International Cooperation Office oversees the management of the International Fund, and is responsible for preparing project guidance and oversight, reviewing and making decisions on applications for funding, and otherwise supervising activities associated with the International Fund.

(三) 项目组中方主要成员变更应由所在研究部门报国际合作处, 由主管所领导批准后执行。

(III) Changes to key members of any project team will only be permitted after reporting to, and agreement from, the International Cooperation Office and prior approval by the project leader responsible.

第四条 国际基金的申请与立项

Article IV Application and Approval of International Fund

(一) 国际基金将实行顶层设计与自发申请两种方式;

(I) Applications to the International Fund can be made at any time and must be of top quality;

(二) 国际合作处将不定期发布《长春光机所××年度第×批国际基金指南》并组织申报，申请人可以在指南规定范围内进行申报；在指南规定时间外或拟申报项目不在指南所列范围内的，申请者可直接向国际合作处申报；

(II) The International Cooperation Office will intermittently issue a call for applications (of CIOMP, CAS, in xx). Applicants must prepare proposals that attend to the scope specified in the call for applications. Late applications or those outside the stated scope can be made directly to the International Cooperation Office.

(三) 申请人按要求编写《长春光机所国际基金合作协议》(简称“协议”，中英文对照)；

(III) The applicant shall prepare a *Changchun Institute of Optics, Fine Mechanics and Physics, Chinese Academy of Sciences International Fund Cooperation Agreement* (“Agreement”), in both Chinese and English, according to the appendix ‘*Contents Covered by Cooperation Agreement*’.

(四) 国际合作处组织所内外专业技术、财务、科技管理与战略专家对申报的项目进行立项初审，经初审可行的项目，国际合作处负责形成项目评审意见与立项建议提交所务会审批；

(IV) The International Cooperation Office will engage experts in science, technology, finance, management and strategy from CIOMP and elsewhere to preliminarily review the submitted applications. If an application is approved, the International Cooperation Office will provide the reviews and other information to the Institute Affairs Board for final approval.

(五) 国际合作处负责组织协议签订。

(V) The International Cooperation Office is responsible for coordinating the signing of the Agreement.

第五条 国际基金实行项目负责人(这里指我方负责人)责任制(无明确负责人的项目，届时由国际合作处牵头负责)。项目负责人原则上只允许同期承担 1 项

国际基金。项目负责人的基本职责是：

Article V: The International Fund has oversight of matters related to the International Fund and the project's leader (herein referred to as the "Project Leader"). Any project which lacks a defined Project Leader will be led by the International Cooperation Office. In principle, a Project Leader can undertake a single International Fund project for a given period. The basic responsibilities of the Project Leader are as follows:

- (一) 严格执行协议内容，保证基金目标的完成；
(I) Abide completely by the Agreement and make best efforts to attain the stated International Fund project objectives;
- (二) 负责队伍的组建和相关资源的统筹安排；
(II) Form and manage a project team and ensure that all relevant resources are obtained;
- (三) 向国际合作处报告项目执行情况。
(III) Provide a final report on the execution of the project and its outcomes to the International Cooperation Office.

第六条 国际基金经费管理

Article VI Expenditure Management of International Fund

- (一) 经费预算由外方负责人与我方负责人在协议中联合签字确认；
(I) The project budget will be set in the Agreement;
- (二) 基金应严格进行预算、决算管理，经费使用严格按预算支出；确有必要时，应由基金负责人提出“经费调整申请报告”，说明调整原因、调整额度、调整预算方案，经国际合作处审核后，报主管所领导批准后执行；
(II) The Project Leader will not exceed the budgeted spending as set out in the Agreement, and funds will be used in strict accordance with the agreed budget. If alterations to the budget are required, the Project Leader will

submit an “Application for Expenditure Adjustment”, which includes justification for the proposed adjustment and the material changes requested. This should be submitted to the responsible person at the International Cooperation Office for approval;

(三) 基金经费视节点完成情况按协议执行;

(III) Funds provided by the International Fund will be spent in accordance with the Agreement;

(四) 基金中期检查时,国际合作处会同财务管理处对经费使用情况审查,对经费使用不合理情况进行整改,整改期内不拨付后续经费。

(IV) There will be a mid-term fund audit in which the International Cooperation Office, in cooperation with the Financial Management Office, will review each project’s expenditure against its budget. Any unjustified expenditure will need to be rectified by the Project Leader and no more funds will be released until the International Cooperation Office is satisfied that the situation has been rectified.

第七条 基金知识产权管理

Article VII Intellectual Property Management of the International Fund

(一) 相关知识产权须在与外方签署的协议中有明确约定;

(I) The management and ownership of any intellectual property arising from an International Fund project shall be specified in the Agreement signed within CIOMP and the overseas party;

(二) 国际基金研制过程中形成的文档应由我方派出人员(如有)进行(电子)预立卷管理,并同时报送国际合作处备份。

(II) Any documents prepared during the development of an International Fund project shall be retained by the relevant employee, and submitted electronically to the International Cooperation Office for archiving.

第八条 基金过程管理

Article VIII Process Management of Fund

(一) 国际合作处负责基金执行的全过程管理;

(I) The International Cooperation Office has oversight and responsibility for the operation of the International Fund;

(二) 管理方式将通过邮件、视频(电话)会议、书面材料或实地检查等多种方式进行;

(II) Management of the International Fund will be conducted via e-mail, video (phone) conference, written materials or physical inspection;

(三) 国际合作处不定期向分管所领导汇报,如遇特殊情况或重大事项及时组织协调相关部门解决;

(III) The International Cooperation Office may contact the responsible Project Leader on an ad hoc basis about matters relevant to the International Fund. The Project Leader will provide timely responses and undertake best efforts to resolve any identified issues;

(四) 中期检查由国际合作处组织负责。中期检查时可以申请延期(原则上不超过1个月)、终止或经费预算调整;

(IV) The International Cooperation Office is responsible for the mid-term review, which is an opportunity for the Project Leader to extend or terminate the project or request budget adjustments. Extensions for the mid-term review will not, in principle, be for longer than one (1) month.

第九条 国际基金结束

Article IX Completion of International Fund projects

国际基金结束一般参照协议到期后1个月内。包括三种方式,分别为验收、结题和终止。

The International Fund projects have three outcomes, which will be

communicated to Project Leaders within one (1) month of the expiry of the term of the Agreement: successful completion, partial completion or and non-completion.

(一) 基金验收,是指在研制周期内,全面完成任务书规定的工作,满足所有技术指标、科研成果、人才培养等要求,并有明确应用或应用前景;基金结题,是指在研制周期内,基本完成任务书规定的工作,满足主要技术指标和科研成果、人才培养等要求,并有明确应用或应用前景,或者达到验收技术标准但拖期3个月以内;基金终止,是指基金无法达到“验收”或“结题”标准;

(I) Successful completion indicates that work specified in the Agreement was completed within the Agreement term, and meets relevant technical and scientific standards and requirements. In addition, work will have demonstrably increased the research capability of personnel and have concrete applications, or prospects for application, to other products or services. Partial completion indicates that work specified in the Agreement has been partially completed within the Agreement term. The partial work that was completed must have met the relevant technical and scientific standards and requirements. In addition, the work must have demonstrably increased the research capability of personnel and have concrete applications, or prospects for application, to other products or services. Partially completed projects may be extended for three (3) months to reach the status of successful completion. Non-completion indicates that the project has not or cannot reach successful or partial completion, even after a 3-month extension;

(二) 应在基金执行期到期后一个月内完成基金验收申请和研制总结报告(全套验收材料)。基金验收由国际合作处组织专家组进行评审,视基金对任务书要求的满足情况进行验收、结题或终止;

(II) A project completion report (a whole set of completion documents) shall

be submitted within one (1) month of the project term expiry date. The project completion report will be reviewed by the expert team organized by the International Cooperation Office, which will determine whether the project represents successful completion, partial completion or non-completion based on the compliance of the project with the terms of the Agreement;

(三) 如因人为原因无法按期(含中期检查批复的延期)进行基金验收,按基金终止处理。

(III) If the project cannot be completed on time (including any extension) because of personnel issues, the project shall be terminated.

第十条 为确保国际基金总体绩效,对于基金在研制周期(含中期检查批复的延期)过程中提出终止申请或评审结论为“基金终止”的基金,按实际发生情况追缴剩余经费,项目负责人2年内不得申请国际基金。

Article X Payments will be made at the discretion of the International Fund for any project which is judged at the mid-term review (or otherwise) to be "non-completed" (with or without extension) during the Agreement term. The Project Leader will not be able to apply for the International Fund for two (2) years the date on which it became 'non-completion'.

第十一条 本办法自下发之日起施行,解释权归国际合作处。

Article XI This Framework will be implemented from the date of issue and the International Cooperation Office reserves the right to amend the Framework at any time.

APPENDIX

合作协议须涵盖的内容

Contents Covered by Cooperation Agreement

- 1.项目名称 Project name
- 2.项目负责人 Project Leader
- 3.外方负责人 Responsible person of overseas party
- 4.起止年月日 Start and end dates
- 5.目的与意义（从创新、学科方向建设、工程应用支撑或成果转移转化等角度描述，字数不限） Purpose and significance (description of innovation, importance to the scientific discipline, applications to engineering and potential for knowledge transfer and transformation into products, etc. There is no word limit).
- 6.研究现状（国际与国内，字数不限） Project in general (international and national; no word limit)
- 7.我方研究基础 Research background
- 8.外方研究基础与相关证明文件（如文章、专利、成果应用等） Global status of research discipline, with relevant supporting evidence (such as articles, patents, etc.)
- 9.研究目标 Research objectives
- 10.研究计划 Research plan
- 11.成员与分工（派出人员与所内参与成员） Members and division of labor (those travelling overseas and participants in the Institute)
- 12.预算 Budget
- 13.外方投入（经费、人员、设备等） International organization input (expenditure, personnel, equipment, etc.)
- 14.知识产权约定 Agreement on intellectual property rights