

温州肯恩大学文件

温肯大发〔2022〕30号

关于修订《温州肯恩大学科研机构 管理办法（试行）》的通知

各部门、各学院：

《温州肯恩大学科研机构管理办法（试行）（2022年修订）》已经2022年第二十七次校务会审议通过，现印发给你们，请遵照执行。

附件：1.温州肯恩大学科研机构设立申请书
2.校内科研机构年度考核标准

温州肯恩大学

2022年5月26日

温州肯恩大学科研机构管理办法

(2022年修订)

第一章 总则

第一条 为推动我校科学研究工作的发展，加强学科建设和人才培养，培育和建设一批高水平和高层次创新团队，加强对外科技合作交流，促进科技成果转化，同时规范科研机构管理，现结合我校科研工作实际情况，特制定本管理办法。

第二条 本办法所称的科研机构是指经过一定程序审批并由学校正式发文批准成立的校内研究院、研究所、研究中心、产学研联合科研机构、研究基地等。

第三条 科研机构主要任务

面向学科建设与经济社会发展的需要，坚持基础研究与应用研究并重、多学科交叉、产学研结合的发展思路，主动服务于国家和地方经济建设和社会发展的需要。

第四条 科研机构发展目标

以自然科学研究为主的科研机构的目标是：兼具人才培养和学术功能，多学科结合，与产业密切合作，积极开展科技成果转让，在国内外享有一定学术影响力。

以人文社科研究为主的科研机构的目标是：兼具人才培养和学术功能，多学科结合，为政府及企、事业单位提供决策、咨询服务，在国内外享有一定学术影响力。

第五条 鼓励跨院系、跨部门、跨学科共建科研机构。鼓

励在互惠互利、共同发展的原则下与校外机构联合设立科研机构。

第六条 科研机构实行学校、学院（部门）双重管理。学校科研办为科研机构的综合管理部门。科研机构主要隶属的学院（部门）为科研机构的日常管理部门。

第二章 科研机构设立

第七条 科研机构申报条件

1. 科研机构负责人一般应由学校全职的相关领域学术带头人担任。负责人应当有较深的学术造诣、学风正派、富有开拓精神和组织领导能力。

2. 科研机构应拥有一支有知识结构、专业技术结构、年龄结构较为合理的研究队伍；团队中拥有高级职称（或有博士学位）的人员不少于2人，具备一定的合作基础。团队人员以学校全职人员为主，可聘请客座研究人员。

3. 有明确、稳定的研究方向和研究目标；在某学科领域具有一定的研究优势，有一定的前期研究基础；具有承担省市以上科研项目的能力；有切实可行的中长期研究规划；有持续的研究项目和经费来源。

第八条 科研机构设立程序

申报科研机构须经所在学院（部门）同意后，向学校科研办提交《温州肯恩大学科研机构设立申请书》（详见附件1）等材料，由学校科研办牵头组织论证，对其必要性和可行性进行审查，报学校批准后正式发文成立。

第三章 科研机构管理

第九条 经学校批准同意成立的科研机构，不具有法人资格，不单独设置人员编制和行政级别，其主要经费来源为科研机构承担的纵向、横向课题经费。学校按 2 万元/家·年标准安排科研机构启动及日常工作经费。学校在科研用房、办公设施设备等方面给予必要支持。

第十条 科研机构的负责人为各类经费使用的第一负责人。学校财务部、科研办、科研机构所在学院（部门）根据各自职责承担经费使用的管理、监督工作。项目经费管理参照学校科研项目经费使用管理办法。

第十一条 科研机构因工作需要，要求变更名称、负责人、研究方向、校外合作机构等重要事项的，应以书面报告的形式向科研办申请，并经学校批准后备案。

第十二条 在校外科研机构、各级各类科研课题、科技人才项目及科技奖励申报等方面，同等条件下优先考虑科研机构的申请。

第十三条 科研机构实行年度考核制度。科研办每年对科研机构就团队建设、研究项目、科普宣传、对外合作服务、论文发表、成果申报及转化、经费使用等情况进行综合考评（详见附件 2）。

第十四条 对综合考评不达标的科研机构，取消下一年的日常工作经费，并要求进行整改。连续两年综合考评不达标的科研机构，科研机构转入休眠状态。科研机构若重新启动，须按设立申报程序重新报批。

第十五条 科研机构可独立开展学术交流，争取各级各类项目或进行项目洽谈活动。科研机构与县级以上（含）单位、境外机构开展科研合作，以及涉及经济业务往来的，应以学校名义签订合同。上述情况之外的，经科研办审查后，由科研办提请学校授权科研机构对外签订。

第十六条 科研机构不得私自刻制印章。确因工作需要刻制印章的，须经科研办核实、学校审批同意后，由校办统一办理。该印章只限于对外一般性工作联系文件。未经审核私自刻制印章对外使用引起纠纷或造成学校损失的，由科研机构负责人承担全部责任。

第十七条 科研机构的知识产权均属于温州肯恩大学。学校与其他单位或个人另有合作协议的，从其约定。科研机构进行知识产权转让的，参照学校科技成果管理办法。

第四章 附则

第十八条 本办法自公布之日起执行。由温州肯恩大学科研办负责解释。

附件 1

温州肯恩大学科研机构设立申请书

科研机构名称					
所属学院(部门)					
所属学科					
研究类型	基础性研究 ()	应用性研究 ()	综合性研究 ()		
科研机构成员名单					
姓名	性别	出生年月	联系方式	现岗位/职称/ 教育背景	拟任机构 职务
科研机构成员已发表的主要学术成果 (5 项以内)					
姓名	论文题目	发表期刊	期刊级别	发表时间	

科研机构成员已承担的主要科研项目（5项以内）			
项目负责人	项目名称	项目类型	实施时间
<p style="text-align: center;">科研机构简介</p> <p>（包含机构主要负责人及主要成员情况、主要研究方向和目标、前期研究基础、中长期研究规划等）</p>			

其他申请需求:

主要负责人签名:
年 月 日

学院院长\部门负责人意见:

签名:
年 月 日

附件 2

校内科研机构年度考核标准

考核内容	赋分标准	
1. 团队建设情况 (10分)	● 学年内是否有博士学位或副高级以上人才加入团队	
	10-8	有 2 名及以上博士学位或副高级以上人才加入团队;
	7-4	有博士学位或副高级以上人才加入团队;
	3-1	有一定学术、专业水平人才加入团队;
	0	无上述情况。
2. 科研项目开展情况(20分)	● 学年内是否新承担国家级、省市级等各类科研项目	
	20-14	承担 2 项及以上国家级、省市级等各类科研项目;
	13-7	承担至少 1 项国家级、省市级等各类科研项目;
	6-1	承担校级科研项目;
	0	无上述情况。
3. 科普宣传及对外合作服务(25分)	● 是否开展对外合作交流与学术活动	
	25-18	已开展 3 次及以上对外合作交流与学术活动;
	17-9	已开展 2 次对外合作交流与学术活动;
	8-1	有开展对外合作交流与学术活动;
	0	无上述情况。

4. 学术论文发表 (20分)	● 是否在 SCI、SSCI 等高质量学术期刊上发表论文	
	20-14	已在 SCI、SSCI 等高质量学术期刊上发表 2 篇以上 (含 2 篇) 论文;
	13-7	已在 SCI、SSCI 等高质量学术期刊上发表至少 1 篇论文;
	6-1	已在学术期刊上发表论文;
	0	无上述情况。
5. 科技成果申报及转化 (10分)	● 是否有科技成果产出、落地、转化等	
	10-6	科技成果产出、落地、转化等取得一定进展;
	5-1	已开展科技成果产出、落地、转化等前期工作 (专利申请、转化谈判、合作意向书签约等);
0	无上述情况。	
6. 经费使用情况 (10分)	● 机构经费是否合理使用	
	10-6	经费已使用 60%以上;
	5-3	经费已使用 30%-50%;
	2-1	经费使用率在 30%以下;
	0	经费未使用。
7. 材料报送及完整性	● 考核材料报送是否按时、完整	
	5-3	材料按时上报且内容完整;
	2-1	材料按时上报, 内容基本完整;

(5分)	0	材料未按时上报且内容有缺失。
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温州肯恩大学办公室

2022年5月27日印发

Regulation of Wenzhou-Kean University Research Institute

(Modified in 2022)

Chapter I. - General

Article 1. The Regulation is hereby formulated in combination with the actual situation of research work in Wenzhou-Kean University in order to: promote the development of research work, strengthen discipline construction and talent training, cultivate and build a number of high-level innovation teams, strengthen the cooperation and exchange of science and technology with external counterparts, promote the practical application of scientific and technological achievements, and standardize the management process of research institutes in Wenzhou-Kean University.

Article 2. The term "research institute" refers to the laboratory, research institute, research institution, research center, industry-university-research center, and research base, etc.

Article 3. Mission of Research Institute

Combine the demand of discipline construction and social economic development; Emphasize on the balance between basic research and applied research, interdisciplinary application, and industry-research cooperation; Take the initiative to serve the need of national and local economic construction and social development.

Article 4. Objectives of Research Institute

Natural Science oriented: cultivate talents and contribute to academic outcomes; interdisciplinary application; close cooperation with industries; transfer of scientific and technological achievements.

Liberal Arts oriented: cultivate talents and contribute to academic outcomes; interdisciplinary application; provide decision-making and consulting services with governments and public institutions.

Article 5. Joint development of research institute across colleges, departments and disciplines is supported. Joint establishment of research institute with external

institutes is supported, following the principle of mutual benefit and development.

Article 6. The research institute shall be under the dual management of the University and college (department). Office of Research and Sponsored Programs shall be the general management department of all research institutes. College or department which the research institute belongs to, shall be the daily management unit.

Chapter II. Establishment of research institute

Article 7. Requirement for application

1. The Director of the institute shall be currently working at Wenzhou-Kean University on a full-time basis, as the academic leader in the relevant field. Director shall have profound academic attainments, a decent style of study, a pioneering spirit and organizational leadership.

2. A research team with reasonable knowledge structure, professional technology structure and staff age structure; At least two members shall have the senior title or doctor's degree in the relevant field. The team shall mainly consist of full-time staff/faculty from Wenzhou-Kean University while guest researchers can be engaged as well.

3. Clear research direction and objectives. Advantages in the certain subject field. Solid preliminary research foundation. Capable of undertaking research projects beyond the municipal level. Reliable and feasible long-term research plan. On-going research projects and stable source of funds.

Article 8. Procedure of establishment

Approved by the relevant college/department, the applicant team shall submit Wenzhou-Kean University Research Institute Registration Form (Appendix I) and related materials to Office of Research and Sponsored Programs. The Office is responsible for assessing and reviewing the necessity and feasibility of the institute applied. The formal establishment notification from the University shall be issued after approval from the Office.

Chapter III. Management of research institute

Article 9. The approved institute shall have no status of legal person and no

separate staffing and administrative levels. The main source of funding shall be the fund from external or entrusted research projects. The University gives 20,000 RMB per institute per year as the fund for project start-up and daily work expenses and provides the necessary support for research spaces, office facilities, equipment, and so on.

Article 10. The Director of the institute shall be responsible for the use of each source of funding. The Finance Office, Office of Research and Sponsored Programs, and the relevant college/department, shall take responsibilities and supervise the use of funds according to their respective duty. Specific regulation shall refer to the University's regulations on funding for research programs.

Article 11. When requesting for changing institute information such as name, director, research direction, external cooperation institutes and so on, the oriented report shall be submitted to Office of Research and Sponsored Programs. After approval from the University, the change shall take effect.

Article 12. In all levels and types of research projects, scientific and technological talent projects, and reward declaration, priority shall be given to the approved institute.

Article 13. Annual evaluation of research institute by Office of Research and Sponsored Programs. The evaluation index includes but not limited to team building, research projects, science and technology dissemination, external cooperation and service, publication, research achievement declaration and transfer, and funding usage (Appendix II).

Article 14. For the institute that fails to pass the annual evaluation, the fund for project start-up and daily work expenses in the next year shall be cancelled and corresponding adjustment shall be implemented. For the institute that has failed to pass the evaluation for two consecutive years, it shall be turned into a dormant state; the whole procedure for establishing an institute shall be processed if the dormant institute restarted.

Article 15. Research institutes can independently carry out academic exchanges, and strive for various levels of projects or project negotiation activities. In the case that research institute carries out research cooperation with units at or above the county level or overseas institutes (universities, industries, research institutes, etc.), or has economic and business contacts with them, it shall sign contracts in the name of the University. Apart from the above cases, the Office of Research and Sponsored Programs shall, after review, request the University to authorize the research institute to sign.

Article 16. Research institute shall not make its official seal without permission. If the institute seal is needed, it shall be verified by the Office of Research and Sponsored Programs and approved by the University, and then made by University Affairs. Use of the seal is limited to external general working documents. The Director of the institute takes full responsibility for any dispute or loss caused by the use of the self-made seal for external use without verification and approval.

Article 17. The intellectual property right of research institute belongs to Wenzhou-Kean University. If the University has a cooperation agreement with other units or individuals, the relevant agreement shall be considered. The University's regulations on scientific and technological achievements shall be referred to when research institute transfers the intellectual property right.

Chapter IV. Supplementary Provision

Article 18. This Regulation comes into force upon promulgation. Office of Research and Sponsored Programs reserves the right to explain all the terms.

Appendix I

**Wenzhou-Kean University
Research Institute Registration Form**

Name					
College (Depart.)					
Discipline					
Research Type	Basic ()	Applied ()	Comprehensive ()		
Member List					
Name	Gender	Date of birth	Contact number/email	Position at WKU & Educational Background	Position at Proposed Institute
Major publications by institute member (Maximum 5)					
Member Name	Publication Title	Journal/Conference/Book Chapter	Indexed by...	Publication Date	

Major research projects undertaken by institute members (Maximum 5)

Name	Project Title	Project Type	Period

Introduction of Institute

(Information of director and major members, research direction and objectives, previous research basis, medium term and long-term research plan, etc.)

Other Requirement:

Director of Institute (signature):

DD MM YY

College Dean/Department Director Comments:

Signature:

DD MM YY

Appendix II

Criteria for Annual Evaluation of Research Institute

Content	Standard	
1. Team Building (10 points)	Talents (doctorate degree or professional title above deputy senior level) join the team during the academic year	
	10-8	Two or more talents join the team;
	7-4	One talent joins the team;
	3-1	Person with academic and professional talents join the team;
	0	None of the above.
2. Research Project (20 points)	Undertake new research programs at national, provincial and municipal level within the academic year	
	20-14	Undertake two or more national, provincial, and municipal research projects;
	13-7	Undertake one research project at national, provincial, and municipal levels;
	6-1	Undertake university-level research projects;
	0	None of the above.
3. Academic & Science Popularization and External Cooperation Service (25 points)	Carry out international cooperation, exchange and academic activities.	
	25-18	Three or more external cooperation, exchange, and academic activities have been carried out;
	17-9	Two external cooperation, exchange, and academic activities have been carried out;
	8-1	One external cooperation, exchange, and academic activity has been carried out;
	0	None of the above.
4. Publication (20 points)	Publish academic papers in high quality journals indexed by SCI, SSCI and so on.	
	20-14	More than two papers (including two) have been published in SCI, SSCI, and other high-quality academic journals;
	13-7	At least one paper has been published in SCI, SSCI, and other high-quality academic journals;
	6-1	Papers published in other academic journals;
	0	None of the above.
5. Application and Commercialization of Research Achievement (10)	Scientific and technological outputs, achievements, commercialization, etc.	
	10-6	Certain progress has been made on research outputs, application and commercialization.

points)	5-1	The preliminary work has been carried out (patent application, commercialization negotiation, letter of cooperation intent, etc.);
	0	None of the above.
6. Use of Fund (10 points)	Proper use of the institutional fund.	
	10-6	More than 60% of the fund has been used;
	5-3	30% - 50% of the fund has been used;
	2-1	The utilization rate of the fund is lower than 30%;
	0	The fund was not used.
7. Submission of Materials and Completeness (5 points)	Submit the completed annual evaluation materials on time.	
	5-3	Materials are submitted on time and the contents are complete;
	2-1	Materials are submitted on time and the contents are partially complete.
	0	Materials are not submitted on time and the main contents are missing.