

# 温州肯恩大学文件

温肯大发〔2021〕20号

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## 关于印发《温州肯恩大学 SpF/SpS/SSpF 项目管理办法（2021年修订）》的通知

各部门、各学院：

《温州肯恩大学 SpF/SpS/SSpF 项目管理办法（2021年修订）》已在2021年第二十一一次校务会上通过，现印发给你们，请遵照执行。

特此通知。

附件：温州肯恩大学 SpF/SpS/SSpF 项目管理办法（2021年修订）

温州肯恩大学

2021年5月12日

附件

# 温州肯恩大学 SpF/SpS/SSpF 项目管理办法

## (2021 年修订)

### 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)、学生拍档职工项目(SpS 项目)和夏季学生拍档教师项目(SSpF 项目)。

(一) SpF/SpS 项目是指学校全职教职工指导学生开展的科研项目。项目执行时间为每年 9 月至次年 8 月。原则上，每个项目资助金额不超过 3 万元，主要用于与项目相关的直接经费支出。

(二)SSpF 项目是指学校全职教师指导学生在暑期开展的科研项目。项目执行时间为每年 6 月 16 日到 8 月 15 日。SSpF 项目每年最多支持 10 项。原则上，每个项目资助金额不超过 3.5 万元，主要用于指导老师的工作津贴(最高不超过 2.5 万元)及与项目相关的直接经费支出(最高不超过 1 万元)。完成教师合同学年教学量的教师，可领取津贴。未完成教学量的教师，参加 SSpF 项目可获得 3 个授课学分。

第三条 SpF/SpS/SSpF 项目资助经费纳入学校总体预算。

第四条 同一科研项目只能申报一次校内科研项目资助。已列入 SpF/SpS/SSpF 项目的，鼓励申报校外科研项目。

第五条 学校科研办负责 SpF/SpS/SSpF 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 SpF/SpS/SSpF 项目负责人应为本校全职教职员工。参与立项申请的教职工及学生应分别具备下列条件。

（一）教职工申请人：

- 1.温州肯恩大学全职教职员工且为项目负责人；
- 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，或具有中级以上职称。
- 4.无科研诚信不良记录。
- 5.暑期学期授课超过三学分的教师原则上不可以申报 SSpF。参与 SSpF 的教师申请教学量减免的，须经系主任、院长和学术副校长批准。

（二）学生为温州肯恩大学正式注册学生。

第七条 SpF/SpS/SSpF 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/SSpF 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提交 SpF/SpS/SSpF 项目申报表、项目计划书以及其他相关材料。

第九条 科研办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）项目未能通过伦理审查的。

第十条 形式审查通过的项目，提请校内外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 拟资助项目公示无异议的，经校务会议研究同意后，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 项目立项后，项目负责人应当认真履行导师职责，指导学生开展研究。其中 SSpF 项目的负责人在项目实施期间每周安排至少 3 天时间在校指导学生开展科研。

第十四条 SpF/SpS/SSpF 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，学校将终止该项目。

第十五条 SpF/SpS/SSpF 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，应向科研办申请进行变更。经批准同意后，项目方可继续实施。

第十六条 项目实施期间，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）项目违反伦理相关规定的。

第十七条 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校内各类科研项目。

#### 第四章 项目结题

第十八条 SpF/SpS/SSpF 项目完成后，项目最终成果应及时提交结题申请。评审结题工作由科研办统筹安排。

第十九条 SpF/SpS/SSpF 项目符合条件的，可申请成果评审并结题。

（一）SpF/SpS 项目符合以下条件的，可申请成果评审并结题。

1.项目负责人已经主持完成项目计划书中明确的研究任务，最终成果已经形成；

2.不存在知识产权等方面的争议；

3.按照学校有关财务管理制度规范使用资助经费。

（二）SSpF 项目符合以下条件的，可申请成果评审并结

题。

1.项目负责人在项目实施期间按规定时间在校指导学生开展科研。

2.项目负责人和学生和项目执行中期和终期参加科研项目交流会、项目进展报告会及问卷调查等。

3.项目负责人已经主持完成项目计划书中明确的研究任务，最终成果已经形成；

4.不存在知识产权等方面的争议；

5.按照学校有关财务管理制度规范使用资助经费。

第二十条 若 SpF/SpS/SSpF 项目初次结题评审为“不合格”的，允许项目组在半年内进行完善修改，并重新申请评审结题。重新评审结题仍不能通过的，学校将终止该项目。该项目负责人两年内不得申请校内各类科研项目。

第二十一条 SpF/SpS/SSpF 项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（含篇章），并且已经发表或出版；

（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，并且已提交申请或登记；

（三）项目获得各级各类科研资金资助或科研成果奖励的。

## 第五章 项目经费管理

第二十二条 SpF/SpS/SSpF 项目经费管理按照《温州肯恩大学科研项目经费管理办法（2021年修订）》执行。

## 第六章 附则

第二十三条 学校其他相关制度与本办法规定不一致的，以本办法为准。原《温州肯恩大学 SpF/SpS 项目管理办法(试行)》同时废止。

第二十四条 本管理办法于发布之日起开始实行，由科研办负责解释。

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温州肯恩大学办公室

2021年5月12日印发

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**Wenzhou-Kean University Regulations for Student Partnering with Faculty/Staff Research Program and Summer Student Partnering with Faculty Research Program**

**(Modified in 2021)**

**Chapter I General Principles**

**Article 1** The regulations is formulated in combination with the actual situation of the University to specify and standardize the research program management, to fully support student-faculty/staff collaborative research, to improve the University's research and innovation.

**Article 2** Internal funding for research includes (1) Student Partnering with Faculty Research Program (SpF); (2) Student Partnering with Staff Research Program (SpS), and (3) Summer Student Partnering with Faculty Research Program (SSpF).

2.1 The SpF/SpS refers to a competitive program that supports and advances student and faculty/staff research and creative work at Wenzhou-Kean University (WKU). The award period is from September to August of the following year. In principle, a maximum amount of 30,000 yuan in the direct costs to support SpF/SpS may be awarded, based on the budget submitted with the proposal.

2.2 The SSpF refers to a competitive program that supports and advances student and faculty research and creative work at WKU during the summer. The award period is from June 16 to August 15. A maximum of 10 SSpF projects will be awarded every year. In principle, a maximum amount of 35,000yuan to support the SSpF may be awarded, based on the budget submitted with the proposal, which mainly includes a maximum amount of 25,000yuan for faculty research mentor stipend, and a maximum amount of 10,000yuan for the direct cost. (1) Stipend can be awarded for faculty who have completed the teaching load. (2) 3-credit release time can be awarded for faculty who have not completed the teaching loads.

**Article 3** The funds are University budgetary allocation.

**Article 4** The same project cannot be awarded the internal funding twice. Applicants who receive SpF/SpS/SSpF awards are encouraged to launch and develop fundable projects by national, provincial, and municipal funding agencies.

**Article 5** The Office of Research and Sponsored Programs (ORSP) administers SpF/SpS/SSpF awards, including application, reviewing, progress report and final reports, etc. The Office of Financial Service administers the budget and related financial affairs.

## **Chapter II Application, Evaluation and Authorization**

**Article 6** Faculty and staff members are eligible to apply for SpF/SpS/SSpF, considering the actual research needs. Applicants should meet the following qualifications:

6.1 Faculty and staff members applicants

6.1.1 shall be full-time faculty and staff members and the principal investigators (PIs) or project directors (PDs).

6.1.2 have the experience and ability to undertake research.

6.1.3 have obtained a master degree or academic title of middle rank or above.

6.1.4 have no bad record of research integrity.

6.1.5 in principle, have more than three teaching credits in the summer cannot apply for SSpF. Approval of credit release from the program director, dean, and vice chancellor for academic affairs is required.

6.2 Student research assistants must be WKU registered students.

**Article 7** In principle, SpF/SpS/SSpF awards are available to apply for annually.

**Article 8** Faculty/Staff members should submit application, proposal, and other related materials to the ORSP, in collaboration with students, for a specific student-faculty/staff research project.

**Article 9** The ORSP shall review all the application materials in accordance with the relevant provisions. The application will not be accepted if:

9.1 the applicants are not qualified for application.

9.2 application materials do not meet the requirements.

9.3 there is academic misconduct in the application.

9.4 research involving human subjects fails to pass the review by Institutional Review Board.

**Article 10** The ORSP shall organize the internal and external reviewers to conduct peer reviews.

**Article 11** The Vice Chancellor for Academic Affairs will conduct reviews based on the peer-reviewers comments and the needs of the development of academic and research programs at WKU.

**Article 12** All proposed funded projects will be made public for 5 working days. The PI/PDs will receive official notification of acceptance when there is no objection during the period of publicity, and the announcement is approved by the University administration meeting.

### **Chapter III Mid-term Assessment and Project Change**

**Article 13** The PI/PDs are accountable for ensuring the level of faculty interaction sufficient for an authentic research experience and real research training to occur. The PI/PDs of the SSpF should mentor student research assistants at the campus at least 3 days a week during the summer.

**Article 14** The PI/PDs have the final responsibility for seeing that the projects are carried out as proposed. PI/PDs are accountable for their grant's fiscal and program management, fulfillment of proposal goals, and preparation of pertinent reports. A progress report and final report must be submitted to the ORSP. Projects without substantive research tasks, or progress report, and projects which fail to pass the mid-term assessment, will be immediately terminated.

**Article 15** Each project is allowed to change important matters, such as PI/PDs, research goals, content, schedule, and budget, etc. The PI/PDs are required to submit the notification of change to the ORSP. The project can continue to be carried out with approval from the ORSP.

**Article 16** The project can be revoked or terminated if:

16.1 the research goals and content are inconsistent with the original proposal without the approval of change.

16.2 there is plagiarism or other academic misconduct.

16.3 the project cannot be completed as proposed without the application for extension, or the project cannot be completed within the extended time.

16.4 the expenses of the funds violate the terms, conditions, and policies of the University.

16.5 the project violates the terms, conditions, and policies of the IRB.

**Article 17** The PI/PDs whose projects are revoked or terminated must sit out two years before applying again.

#### **Chapter IV Reporting and Conclusion**

**Article 18** A final report of each project must be submitted to the ORSP by the end of the project. The assessment of the outcome of each project is coordinated by the ORSP.

**Article 19** The PI/PDs can apply for the final assessment and complete the project.

19.1 The SpF/SpS PI/PDs can submit the final report for assessment if:

19.1.1 the project is completed as proposed.

19.1.2 there is no dispute over intellectual property rights.

19.1.3 the expenses of the funds comply with the terms, conditions and policies of the University

19.2 The SSpF PI/PDs can submit the final report for assessment if:

19.2.1 the PI/PDs should mentor student research assistants at the campus according to the stipulated time.

19.2.2 the PI/PDs and students are required to attend seminars, present the progress and result of the project, and participate in surveys both in the midterm and by the end of the project.

19.2.3 the project is completed as proposed.

19.2.4 there is no dispute over intellectual property rights.

19.2.5 the expenses of the funds comply with the terms, conditions, and policies of the University

**Article 20** An unqualified project can be modified and re-reviewed within six months after the final assessment. A project which fails to pass the second final assessment must be revoked or abolished. The PI/PDs whose projects are revoked or abolished must sit out two years before applying for internal funding for research again.

**Article 21** Such projects can apply for exemption from final assessment if:

21.1 an academic article or monograph is published by a reputable publisher;

21.2 a patent, computer science copyright, etc. is applied or licensed;

21.3 the project is sponsored by national, provincial, or municipal funding agencies.

#### **Chapter V Award Management**

**Article 22** The award management of SpF/SpS/SSpF is in accordance with *Wenzhou-Kean University Regulations on Research Fund Management (Modified in 2021)*.

#### **Chapter VI Supplemental Article**

**Article 23** Other regulations that are inconsistent with *Wenzhou-Kean University Regulations for Student Partnering with Faculty/Staff Research Program and Summer Student Partnering with Faculty Research Program*, shall be subject to this one. The *Wenzhou-Kean University Regulations for Internal Scholarship of SpF/SpS (Interim)* should be repealed when the new regulations enter into force.

**Article 24** The regulations come into force upon promulgation, the ORSP is responsible for the interpretation of the regulations.