

温州肯恩大学文件

温肯大发〔2025〕38号

关于印发《温州肯恩大学科研项目管理 办法（试行）》的通知

各部门、各学院：

《温州肯恩大学科研项目管理办法（试行）》已经2025年第十三次校务会审议通过，现印发给你们，请遵照执行。

特此通知。

温州肯恩大学

2025年6月30日

温州肯恩大学科研项目管理辦法（试行）

第一章 总则

第一条 为进一步激发学校科研创新活力，规范科研项目的全过程管理，确保科研项目顺利完成，促进学校科研事业健康发展，根据《国务院关于改进加强中央财政科研项目和资金管理的若干意见》（国发〔2014〕11号）、《国务院关于优化科研管理提升科研绩效若干措施的通知》（国发〔2018〕25号）以及中美两国相关部门对科研项目的有关规定，结合学校实际，特制定本办法。

第二条 本管理办法所称科研项目包含两类，分别为纵向科研项目及横向科研项目。纵向科研项目指我校为依托单位承担国家、省、市等各级政府部门的各类科研项目；我校作为合作或协作单位参与国际间、国家、省、市等各级政府部门的各类科研项目（项目合同中有明确经费分配方案）。横向科研项目指政府、企事业单位等委托学校开展的各类科技开发、科技服务、科学研究、决策咨询等方面的项目。

第二章 管理职责

第三条 科研项目及经费管理实行“统一领导、协同合作、分级管理、责任到人”的管理体制。

（一）科研办负责科研项目的全过程管理，包括合同审查、中期检查和结题管理有关工作。

（二）财务部负责项目经费的财务管理、会计核算和结算报销等工作，指导、监督项目负责人规范、有效使用经费。

（三）审计室负责项目经费的审计工作，按照国家、省、市及相关部门的要求，对项目经费使用和管理进行专项审计工作。

（四）项目负责人所在学院（部门）是科研活动的基层管理单位，对科研项目研究过程承担监管责任，要根据学科特点和项目实际需要，加强项目研究过程管理，为项目研究提供保障，督促项目研究进度，监督项目预算执行，保证项目研究质量。

（五）项目负责人是项目实施的直接责任人，全面负责项目的申报、实施、经费支出及结题验收等具体环节，对项目经费使用的合规性、合理性、真实性和相关性承担法律责任。项目负责人要熟悉并掌握有关科研经费管理制度，依法据实编制项目预算和决算。按照批复预算和合同（任务书）使用项目经费，接受上级和学校相关部门的监督检查。

第三章 纵向科研项目管理

第四条 申报组织

（一）纵向科研项目的申报工作由科研办统一组织。

（二）科研办根据有关部门的申报要求及时发布通知，受理申请，并对申报项目进行形式审查。申报项目数大于给定名额时，科研办组织专家评议推荐，推荐结果经校内公示无异议后上报项目主管部门。

（三）原则上同一类项目未经上级主管部门结题通过的，相

关项目负责人不得申请该类新项目。

第五条 立项管理

（一）承担各级各类纵向科研项目的负责人，必须与项目主管部门签订具有法律效力的计划任务书或合同书，并报科研办备案。

（二）批准书、立项通知、计划任务书等立项相关文件统一由科研办归档，科研经费在财务部设立独立账户，专款专用。

第六条 项目的实施、检查与结题

（一）项目负责人对科研项目的执行情况全面负责，科研办、项目负责人所在学院（部门）配合安排、检查，协助并督促计划任务的完成。

（二）项目在实施中，项目负责人原则上不得变更研究计划和内容，如确需变更的，必须有充分理由，并由项目负责人及时提出申请，经科研办审核上报上级主管部门或委托单位批准。无故中止项目研究或因责任事故而未完成，一切责任由项目负责人承担。

（三）项目在实施中，原则上不得擅自变更项目负责人。项目负责人正常调动工作的，其在研的项目可按项目上级主管部门或委托单位相关规定进行处置；如无相关规定，经科研办审核并报上级主管部门或委托单位批准后，原则上由项目组中校内成员按序接替担任项目负责人，由其负责项目的实施与项目经费使用管理。

项目负责人有下列情形之一的，其所在学院（部门）应当及

时提出变更项目负责人或者终止项目实施的申请，经科研办审核，再报项目上级主管部门或委托单位批准：

- 1.项目负责人非正常调离我校的；
- 2.不能继续开展研究工作的；
- 3.有剽窃他人科学研究成果，或在科学研究中有弄虚作假等行为的；
- 4.其他。

（四）我校作为非第一申报单位立项的或个人参加其他单位申报立项的纵向科研项目，参加者须将申报书、批准书、成果报告等材料报科研办备案，纳入当年的学校科研计划管理。否则，在职称评定、晋升、考核、评奖时不予确认。

（五）根据项目主管部门的要求，科研办可对科研项目进行中期检查。每年年终，项目组须对项目执行情况进行总结，报科研办备案。

（六）计划任务完成后，由项目组向科研办提交结题申请、研究成果及有关的科研档案资料，随后经科研办初审，根据有关规定组织验收或结题工作后，报项目主管部门。

（七）项目结题标准以科研项目任务书或合同书为准。项目结题的确认，须以项目主管部门出具有效证明或批复为准。

（八）项目转入和转出均须事前报科研办备案。

第四章 横向科研项目管理

第七条 横向科研项目实行项目负责人负责制。项目负责人

负责项目洽谈、协议拟定、项目实施、经费管理及项目结题，全面履行合同约定，自觉接受上级和学校相关部门监督检查，维护学校声誉和权益。

第八条 横向科研项目必须签订书面合同，合同条款必须符合《中华人民共和国民法典》等相关法律条款的要求，书面合同报科研办审定，完成合同审批流程后方可正式签署。未签订合法有效的书面合同、未经相关流程审定审查的，或不录入学校科研项目管理系统的，学校一律不予承认，不承担法律责任。

第九条 横向科研项目合同的审批流程完成后，项目负责人须在学校落款处签名，合同原件须加盖温州肯恩大学合同专用章。

第十条 横向科研项目合同签订后，合同原件需交科研办一份，项目组自留一份。科研办根据合法有效的横向科研项目合同，进行横向科研项目立项。

第十一条 横向科研项目经费进入学校账户后，学校确定该项目的立项资格并予以财务立项。项目负责人应向科研办上报项目经费预算方案。

第十二条 为规范项目和合同管理，横向科研项目中需要外单位协作的工作，须经科研办审核后按学校相关规定签订合同。

第十三条 横向科研合同生效后，对当事人具有法律约束力。项目负责人必须严格履行合同书所约定的内容，维护学校信誉和正当权益。横向科研项目合同中有经费支出预算和相关约定的，经费预算调整应经项目委托单位书面同意。横向科研合同内容需

要变更时，必须与项目委托单位经过充分协商并签订书面协议后，到科研办办理变更手续。

第十四条 横向科研项目在完成合同规定的研究任务后应及时结题；合同另有规定的，从其规定。

结题资料由科研办归档。属下列情况之一者，视为研究任务完成，可以结题：

- （一）按合同规定条款执行完毕，并由委托方签发验收证明；
- （二）合同项目通过有关技术部门或上级主管部门鉴定；
- （三）出资方书面认同；

（四）委托方变更或委托企业已不复存在的，由负责人所在学院或部门鉴定验收。

第十五条 合同执行过程中因各种原因达到合同解除或终止条款所规定的条件，经双方确认同意，合同（协议）提前解除或终止。

第五章 附则

第十六条 在本办法实施期间，国家、省、市有关政策文件更新的，执行本办法时自动适用最新政策文件。

第十七条 科研项目管理全面推行科研诚信承诺制度，参与实施的科研人员须签署科研诚信承诺书，对科研过程、科研成果等的真实性、完整性负主体责任。

第十八条 本办法自印发之日起施行。原《温州肯恩大学SpF/SpS/SSpF项目管理办法（2021年修订）》（温肯大发〔2021〕

20 号)、《温州肯恩大学校级教职工科研项目管理办 法（试行）》（温肯大发〔2020〕22 号）同时废止。仍在计划执行期 内、未结题的各类校内科研项目，其管理、结题流程参照原有 相关管理办法执行。

第十九条 学校原有相关制度内容与本办法规定不一致 的，以本办法为准。

第二十条 本办法由科研办负责解释。

Wenzhou-Kean University Regulations on Research Project Management (Interim)

Chapter I General Provisions

Article 1 To further stimulate the university's scientific research and innovation, regulate the management of the entire process of research projects, ensure the successful completion of research projects, and promote the healthy development of the university's research efforts, these Regulations are formulated based on the *Opinions of the State Council on Improving and Strengthening the Management of Central Financial Research Projects and Funds* ([2014] No. 11), *Notice of the State Council on Optimizing Research Management and Improving Research Performance* ([2018] No. 25), and relevant regulations of the competent authorities in China and the United States concerning scientific research projects, taking into account the actual situation of the university.

Article 2 Research projects are divided into two categories: vertical research projects and horizontal research projects. Vertical research projects refer to government projects undertaken by the university as the host institution at the national, provincial, or municipal levels; as well as projects where the university participates as a partner or collaborating unit in international, national, provincial, or municipal level research initiatives (with specified funding allocation arrangements in the project contract). Horizontal research projects refer to various projects entrusted by governments, enterprises, and institutions, encompassing fields such as technological development, scientific research, technical services, and decision-making consultancy.

Chapter II Management Responsibilities

Article 3 The management of research projects and funds follows the management

system of “unified leadership, collaborative cooperation, hierarchical management, and responsibility assigned to individuals”.

1. The Office of Research and Sponsored Programs is responsible for contract review, mid-term evaluation, and project completion management of research projects. It collaborates with the Office of Finance to review and supervise the use of research project funds.

2. The Office of Finance is responsible for the financial management, accounting, and reimbursement of project funds, and provides guidance and oversight to ensure that principal investigators (PIs) use the funds in a compliant and efficient manner.

3. The Office of Audit is responsible for auditing project funds, conducting special audits on the use and management of project funds in accordance with national, provincial, municipal, and relevant department requirements.

4. The college (department) to which the PI belongs is the grassroots management unit for research activities. They bear supervisory responsibility for the research process of projects, strengthen management based on discipline characteristics and the specific needs of the projects, provide support for project research, monitor progress, supervise the execution of project budgets, and ensure the quality of project research.

5. The principal investigator is the person directly responsible for the implementation of the project, including its application, implementation, fund expenditure, and final acceptance. The PI is legally accountable for the compliance, reasonableness, authenticity, and relevance of the use of project funds. The PI shall be familiar with and adhere to the relevant research fund management regulations, prepare project budgets and financial reports in accordance with the facts, use project funds as per the approved budget and contract (task letter), and is subject

to supervision and inspection by higher authorities and relevant university departments.

Chapter III Management of Vertical Research Projects

Article 4 Application

1. The application process for vertical research projects shall be organized by the Office of Research and Sponsored Programs.

2. The Office of Research and Sponsored Programs shall issue notices in a timely manner in accordance with requirements from relevant departments, accept applications, and conduct preliminary review to the projects. If the number of applications exceeds the available quota, the Office of Research and Sponsored Programs shall organize expert reviews and recommendations. After the results are publicly announced within the university with no objections, the recommended list shall be submitted to the project authorities.

3. In principle, PIs who have not completed previous projects are not allowed to apply for new projects under the same project management authority.

Article 5 Project Approval

1. PIs responsible for undertaking vertical research projects at all levels must sign legally binding project task letters or contracts with the project authority, and submit them for filing to the Office of Research and Sponsored Programs.

2. Approval documents such as approval letters, project initiation notices, and task letters shall be archived by the Office of Research and Sponsored Programs. Project funds must be kept in a separate account managed by the Office of Finance and used exclusively for the project.

Article 6 Project Implementation, Monitoring, and Completion

1. The PI is fully responsible for the implementation of the research project. The Office of Research and Sponsored Programs and the college (department) to which the principal investigator belongs shall cooperate in organizing, checking, assisting, and monitoring the completion of the project task.

2. In principle, the PI shall not change the research plan or content during project implementation. If a change is necessary, it must be justified with sufficient reasons. The PI must submit a timely request, which shall be reviewed by the Office of Research and Sponsored Programs and submitted to the relevant supervising authority or sponsoring organization for approval. If the project is suspended without valid reasons or not completed due to negligence, the PI shall bear full responsibility.

3. During the implementation of a project, the PI shall not be changed without proper authorization.

If the PI undergoes a normal job transfer, the project shall be handled in accordance with the relevant regulations of the supervising authority or sponsoring organization. In the absence of such regulations, the matter shall be reviewed by the Office of Research and Sponsored Programs and submitted for approval to the supervising authority or sponsor. In principle, a team member from within the university shall take over as PI in accordance with the order of succession, and will assume full responsibility for project implementation and fund management.

If any of the following circumstances occur, the PI's affiliated college or department shall promptly submit a request to change the PI or terminate the project. The request shall be reviewed by the Office of Research and Sponsored Programs and reported to the supervising

authority or sponsor for approval:

3.1 The PI leaves the university under abnormal circumstances;

3.2 The PI is no longer able to continue the research;

3.3 The PI is found to have committed academic misconduct, such as plagiarism or falsification of research results;

3.4 Other relevant circumstances.

4. For vertical research projects where the university is not the primary host institution or individuals are participating in other organizations' applications, participants must submit application documents, approval letters, research reports, and other materials to the Office of Research and Sponsored Programs for filing. The projects shall be included in the university's annual research plan management. Failure to do so may result in disqualification from professional title appointment, promotion, evaluation, or awards.

5. Based on the requirements of the project authority, the Office of Research and Sponsored Programs may conduct mid-term reviews of research projects. At the end of each year, the project team must summarize the project's progress and submit it to the Office of Research and Sponsored Programs for filing.

6. Upon completion of the project task, the project team must submit a completion application, research results, and relevant research documentation to the Office of Research and Sponsored Programs. After initial review, the Office of Research and Sponsored Programs shall organize the acceptance or completion process according to relevant regulations and submit the final report to the project authority.

7. The standards for project completion are based on the project task letter or contract.

Project completion confirmation is subject to the effective proof or approval issued by the project authority.

8. Both the transfer-in and transfer-out of research projects must be reported in advance to the Office of Research and Sponsored Programs for record.

Chapter IV Management of Horizontal Research Projects

Article 7 Horizontal research projects follow a PI responsibility system. The PI is responsible for project negotiations, drafting agreements, project implementation, fund management, and project completion. The PI must fully perform the contract terms, accept oversight and inspections from higher authorities and relevant departments of the university, and maintain the reputation and interests of the university.

Article 8 Horizontal research projects must have a written contract, and the terms of the contract must comply with the relevant legal requirements, including the *Civil Code of the People's Republic of China* and other applicable laws. The contract must be reviewed and approved by the Office of Research and Sponsored Programs, and undergo legal review before it is formally signed. Projects without a written contract, or those that have not gone through the necessary review processes or are not entered into the university's research project management system, shall not be recognized by the university, and the university shall not assume any related legal responsibilities.

Article 9 The horizontal research project contract formed through negotiations with the commissioning unit must be signed by the PI and stamped with the Wenzhou-Kean University contract seal.

Article 10 After the horizontal research project contract is signed, one copy must be

submitted to the Office of Research and Sponsored Programs, and one copy must be retained by the project team. The Office of Research and Sponsored Programs shall initiate the research project according to the contract.

Article 11 Once the project funds are transferred into the university's account, the university shall confirm the project's eligibility and initiate the financial approval process. The PI must submit a budget plan for the project funds to the Office of Research and Sponsored Programs.

Article 12 To standardize the management of projects and contracts, if a horizontal research project requires extra collaboration with external units, a related contract must be signed after it is reviewed by the Office of Research and Sponsored Programs.

Article 13 The horizontal research project contract is legally binding on the parties when it enters into force. The PI must strictly fulfill the terms of the contract, protecting the university's reputation and legitimate interests. If there is a budget and relevant agreement in the horizontal research project contract, the adjustment of the budget shall be agreed in writing by the commissioning unit of the project. If changes to the horizontal research project contract content are necessary, both parties must negotiate and sign a written agreement, and then submit the modification request to the Office of Research and Sponsored Programs.

Article 14 The horizontal research project shall be completed in a timely manner after the completion of the research tasks stipulated in the contract; if the contract stipulates otherwise, it shall be subject to its provisions.

The project completion documents shall be archived by the Office of Research and Sponsored Programs. The following situations shall be considered as completing the research

tasks, allowing for project completion:

1. The project has been completed in accordance with the contract terms and the commissioning unit has issued an acceptance certificate.
2. The project has passed evaluation by relevant technical departments or superior authorities.
3. The funding party has issued written approval.
4. If the commissioning party changes or the commissioned enterprise no longer exists, the completion shall be received and reviewed by the responsible college or department.

Article 15 During the execution of the contract, if the conditions specified in the cancellation or termination clause are met due to various reasons, and both parties confirm and agree, the contract (or agreement) shall be cancelled or terminated early.

Chapter V Supplementary Provisions

Article 16 During the implementation of this Regulation, if relevant national, provincial, or municipal policy documents are updated, the latest policy and regulation shall be automatically applied.

Article 17 The university shall fully implement a research integrity commitment system for the management of research projects. All researchers participating in the project must sign a Research Integrity Commitment Letter and bear primary responsibility for the authenticity and completeness of the research process and outcomes.

Article 18 This Regulation shall take effect from the date of its issuance. Previous documents, including the *Wenzhou-Kean University Regulations for Student Partnering with Faculty/Staff Research Program and Summer Student Partnering with Faculty Research*

Program and Wenzhou-Kean University Regulations for Internal (Faculty/Staff) Research Support Programs (Interim) shall be simultaneously repealed. For all ongoing internal research projects that are still within their planned implementation period and have not yet been concluded, their management and project completion procedures shall continue to follow the original relevant regulations.

Article 19 Any existing university policies or regulations that conflict with this Regulation shall be superseded by these Regulations.

Article 20 The Office of Research and Sponsored Programs is responsible for the interpretation of these Regulations.