

(Translation version)

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SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom - Happiness

Hanoi, 27th March 2018

**REGULATION ON MANAGEMENT AND IMPLEMENTATION
ORGANIZATION OF INSTITUTIONAL S&T PROJECTS**

*(Issued under the Decision No 84/QĐ-ĐHKHCN dated 27th March 2018
by the University of Science and Technology of Hanoi)*

**CHAPTER I
GENERAL PROVISIONS**

Article 1. Scope of Regulation

This Regulation provides provisions on the management of Scientific and Technological projects at institutional level (hereinafter referred to as “S&T projects”), including selection, approval, implementation organization, acceptance, management, processes and results using, handling violations.

Article 2. Scopes of Application

This Regulation is applied to all Education and Research Departments of University of Science and Technology of Hanoi (hereinafter referred to as the “Unit”) and lecturers, researchers of University of Science and Technology of Hanoi (USTH).

Article 3. Objectives and eligibility of S&T projects

1. Objectives

- a) To enhance research capacity within USTH;
- b) To prepare the strong base for building S&T project at higher level;
- c) To establish strong research groups, to contribute to the S&T resources at high level;

d) To produce S&T products which have practical application capacity to meet the target of socio-economic development of Vietnam;

đ) To promote research collaboration, technology transfer with domestic and foreign enterprises, especially with French enterprises.

2. Eligibility of S&T projects

a) Research contents have to follow the main research directions of USTH, main priority directions of S&T research, major S&T research fields at VAST level, NAFOSTED, at ministerial and national level;

b) The projects have high level feasibility, novelty and creativity factors;

c) The projects must ensure a strong efficiency for supporting undergraduate and graduate training programs;

d) The projects have high value research outcome, practical application capacity to meet the target of social-economic development of Vietnam;

đ) The projects include the participation/consulting/advice of Vietnamese and/or international senior researchers, experts at high level from USTH and/or out of USTH;

e) The projects mobilise the participation of USTH lecturers/researchers and students (Bachelor, Master and PhD students).

Article 4. Type of institutional S&T projects

1. S&T projects of type 1

a) Fundamental research projects: maximum implementation time is 24 months and commitment to publish at least 01 ISI publication, wherein the PI of the projects should be identified as first author and/or corresponding author;

b) Applied research or research survey: maximum implementation time is 24 months and commitment to have an application type product that fulfils at least to one of the following results: Patent; Experimental activities; assessed technology; Results related to the interlectual protection (utility model, industrial design); Results related to recognized techniques aspects (experimental production, prototypes).

2. S&T projects of type 2

Maximum implementation time is 12 months and commitment to publish at least 01 publication in a national journal mentioned in the VAST 1 or VAST2 list and/or international journal or international journal and/or international proceedings that are not listed in SCI, SCI-E but has an ISSN, ISBN identification.

Article 5. Fundings for implementation of S&T projects

1. Fundings for implementation of S&T projects at institutional level at USTH include: State budget and other fundings.

2. USTH officially manages and coordinates the use of fundings mentioned above in accordance with current State regulations and regulations of UTSH.

3. Budget of each project is determined according to the compatibility between quality and quantity of research outcomes; needed budget for implementing project objectives is adjusted according to the annual financial situation of USTH.

Article 6. Standards of principal investigator (PI) of S&T projects

1. General standards

a) PI are chosen among USTH lecturers/researchers, who have professional competence in the research field of the projects;

b) Pi should not have studied or worked abroad for more than 90 days.

2. PI of project of type 1

a) Should not be the PI of a NAFOSTED project, VAST project, project at Ministerial level, National level or equivalent at the selection time;

b) Should have signed an USTH working contract/labor contract with definite term 02 years or be signing an USTH working contract/labor contract with indefinite term at the selection time.

3. PI of project of type 2

a) Should not have been the PI of institutional project, NAFOSTED project, VAST project or equivalent;

b) Should be in probation period or be signing an USTH working contract/labor contract with definite term 02 years at the selection time.

Article 7. Mission of Direction of Research, Innovation and Technology Transfer (DRITT)

1. To build the procedure on management and implementation of institutional S&T projects (Table 1).

2. Based on approved annual financial plan, to coordinate with Accounting and Finance Department for building the provisional budget for implementation of S&T projects, to submit for Rector's approval.

3. To select members of Evaluation councils and Liquidation councils for S&T projects (hereinafter referred to as "Councils"), and to submit this selection to the Rector for final approval.

4. To guide PIs of S&T projects, research units and Councils on conducting the evaluation, selection, assessment and liquidation of the projects.

5. To announce information, documents related to S&T projects, to record evaluation, liquidation dossiers in accordance with regulations.

6. To chair, coordinate with related Units in transferring research results of S&T projects.

7. To supervise and propose the handling of any violation.

Table 1: Process on management and implementation of S&T projects

No	Action	Implementation	Agenda
Step 1	Announcement to Units/Individuals to apply (pre-proposal) for the S&T projects of year N	DRITT	4 th trimester of the year N-1
Step 2	Preparation of application dossiers (template)	USTH lecturers/researchers	
Step 3	Projects evaluation and selection (pre-proposal and full proposal)	Evaluation Council	January of year N
Step 4	Final approval of S&T project	Rector	
Step 5	- Project implementation - Monitoring of the implementation of the projects (According to the approval proposal)	- PIs - Head of Units	February - October of year N
Step 6	Mid-term report (for S&T projects type 1)	PIs	November & December of the first year of year N
	Final report (for S&T projects type 2)	PIs	November & December of year N
Step 7	Project liquidation (According to the approval proposal)	- PIs - DRITT - Liquidation Council - Rector	November & December of year N

Step 8	Storage of the research outcomes and confirming the liquidation of projects	- PIs - DRITT	
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Article 8. Mission of relevant functional Unit

Accounting and Finance Department is the relevant functional unit. Its responsibilities are:

1. To guide PIs to build provisional budgets suited with objectives and in accordance with current financial regulations.
2. To coordinate with DRITT on approving projects budgets.
3. To implement payment procedures for the approved projects.
4. To allocate through a time schedule the budgets for research, according to criteria approved by the Rector; to supervise and guide the use of budgets according to principles and regimes of State and USTH on using budget for S&T activities.

Article 9. Rights and responsibilities of the Research Units

1. To organize, assign and support the PI to build S&T proposals.
2. To propose list of members of the Evaluation and Liquidation Councils.
3. To organize and supervise the implementation of projects of the unit or of individuals in the unit.
4. To report the implementation situation and results of the S&T projects as requested by USTH.

Article 10. Rights and responsibilities of PIs

1. To write full proposal of S&T project and adjust the proposal based on recommendations of Evaluation councils (Template A6, Annex).
2. To select members to participate into projects with appropriate qualifications.
3. After approval of projects, to follow the implementation, research and organization plans according to contents, objectives, and time schedule of the project. To obey procedures, regulations and management procedures of USTH; especially to use budget of projects in accordance with regimes and policies; to ensure the outcomes following the approved proposal (Template A7, B1, Annex).
4. To take responsibility for the contents, research results and report of the projects.
5. To report to Direction of Research Units about the implementation and progress of the project.

6. To write final report and present report in the Liquidation Council.

7. To be responsible for receiving, correcting, finalizing or supplementing contents (if any) in the report according to the comments of the Liquidation Council and send to DRITT according to the regulation.

Article 11. Evaluation Council and Liquidation Council for S&T projects

1. Evaluation and Liquidation Councils for S&T projects are established by the Rector. Councils have at least 05 members, including 01 chairman; 01 scientific secretary; 02 scientific reviewers, including at least 01 reviewer from outside of USTH for S&T projects of type 1; and members. PIs and projects members cannot be members of the Councils.

2. Members of the Councils must be prestigious and highly qualified experts, with a strong knowledge related to the field of projects. Members of the Councils could be USTH members or from outside of USTH.

3. The Councils meetings must have at least 2/3 of the members present, including Chairman, Scientific secretary and at least 01 reviewer and must have comments by hard copy of 02 reviewers.

4. The Councils are responsible for evaluating proposals (Template C3, Annex), assessing and accepting (Template C8, Annex) research results and implementation contents of the projects according to approved proposals following Article 11, 12, 16, 17 and 18 of this Regulation. Councils and members of Councils shall be responsible to the Rector for the evaluation results.

CHAPTER II

SELECTION AND EVALUATION OF INSTITUTIONAL S&T PROJECTS

Article 12. Selection and evaluation of S&T projects

1. Individuals who fully meet the criteria mentioned in Clause 1, 2, 3, Article 6 of this Regulation may register for the selection of PI of S&T project.

2. The priority S&T fields are based on the actual situation, budget and S&T development orientation of USTH.

3. Based on the S&T proposals submitted to DRITT, USTH establishes Evaluation Council (Template C1, Annex) to review the S&T projects which are relevant to the priority fields.

4. Selection method: Evaluation by grading points for specific criteria with maximum point is 100. The score of the projects are ranked from highest to lowest.

5. Financial evaluation: The Financial evaluation team is established by the Rector (Template C5, Annex). The team is responsible for evaluating the norm of expenditure items, to ensure the objectives and products of the project and in accordance with the regulations of the State and USTH.

6. Based on the evaluation results and depending on the annual research budget, the Rector shall issue a decision on approving the list of S&T projects and PIs for implementation.

Article 13. Application dossier

PI submits application dossier (soft version and 06 hard versions in book format) to DRITT, including:

1. Cover page (Template A1, Annex).
2. Full proposal (Template A2, Annex).
3. Curriculum Vitae of PI and project members (Template A3, Annex).
4. Commitment of projects members (Template A4, Annex).
5. Provisional budget (Template A5, Annex).

CHAPTER III

THE REGIME OF REPORTING, EVALUATING AND LIQUIDATING WORKING RESULTS OF THE S&T PROJECTS

Article 14. Reporting, inspection and management of the implementation of the S&T projects

1. Mid-term report (Template B3, Annex) (after 12 months of implementation) for project of type 1: The Units and PIs have to send reports to DRITT on the scientific progress, volume, quality, and use of funding related to the project.

2. Final report (after 12 months for project type 2 and after 24 months for project of type 1): The Units and PIs have to send final reports to DRITT at least 20 days for project of type 1 and 10 days for project of type 2 before the end of the project to implement project liquidation procedure.

Article 15. Project liquidation dossier

1. Project liquidation dossier includes:
 - a) Final report (Template B4, Annex);
 - b) Summary of project results (Template B5, Annex);

c) Application form to liquidate S&T project (Template B6, Annex).

2. In the case the project is not able to be completed within the approved implementation time (only for project of type 1), PI has to submit an application for extension of the duration (Template B2, Annex), with validation of Head of Research Unit and send to DRITT at least 02 months before the end of the project. Based on the achieved results of the project, DRITT will submit the application to the Rector for approval. The maximum extension time is 12 months and only one time for extension.

3. If the project is completed before the approved time, PI shall send the liquidation dossier to DRITT to implement liquidation procedure (Template B4, B5, B7, Annex).

Article 16. Project liquidation process

1. PI sends 06 copies of acceptance dossier (in book format) for evaluation and acceptance to the S&T project at institutional level to DRITT.

2. Within 30 days after receiving acceptance dossier, DRITT makes the list of Council members and submit to the Rector to issue a decision on establishing the Liquidation Council (Template C6, Annex) and organizes meeting of the Council.

3. PI has to submit 01 final acceptance dossier (soft version and hard version in book format) to DRITT within 07 days after the meeting of Liquidation Council. Final acceptance dossier includes:

- a) Final report (adjusted) (Template B4, Annex);
- b) Summary of project results (Template B5, Annex);
- c) Minutes of meeting of Liquidation Council (Template C9, Annex);
- d) Conclusion of Liquidation Council on main results of project (Template B8, Annex);
- đ) Explanation on finalization of final report of S&T project (Template B9, Annex).

Article 17. Liquidation contents

1. Achieved level of objectives, contents, approaches, research methods and scientific outcomes in comparison with registration in the proposal.

2. For outcomes related to scientific papers, Article 4 applies in addition to the following requirements:

- a) PI is the first or the corresponding author;
- b) The paper should mention explicitly the funding support; name and address of University of Science and Technology of Hanoi, Vietnam Academy of Science and

Technology in accordance with the regulations in Decision No 278/QĐ-ĐHKHCN dated 14 September 2016 of USTH on approving of affiliation of USTH & VAST's scientific publications, intellectual property titles & other scientific products.

3. Practical Applicability of research results and scientific outcomes of the project.

4. Implementation time of the project.

5. The quality of the final report, reports on research results of the project.

Article 18. Ranking on liquidated subjects

1. Grading of projects based on the evaluation of majority of Council members.

2. S&T projects are evaluated and accepted according to 04 levels: Excellent, Good, Fair and Failure.

a) Excellence: Average evaluation rating from 85 – 100 points;

b) Good: Average evaluation rating from 70 – 84 points;

c) Fair: Average evaluation rating from 50 – 69 points;

d) Failure: Average evaluation rating under 50 points or be evaluated as not being honest relative to scientific facts and ethics.

Extended project: Grading level will be lowered 01 level compared with evaluation level of the Acceptance council.

3. Based on the evaluation of Liquidation Council, Rector shall issue a decision on accepting S&T projects for projects having average rating higher than 50 points.

Article 19. Treatment of property

After project liquidation (only for project of type 1), project's products and property purchased by fund of project will be inventoried and handled over according to current regulations.

CHAPTER IV

HANDLING VIOLATIONS

Article 20. Handling violations

1. Violations modes

a) Project can not completed in cases of expiration within 12 months compared with the approved time but still can not be accepted;

b) Be evaluated at "Failure" level by Liquidation Council.

2. Handling of violations

If the PIs violate one of the violations modes mentioned in Clause 1 Article 20, the PIs and the Research Units shall be responsible for:

- a) Recovering and returning 30% of the allocated funds;
- b) Will not be allowed to apply for call for proposal at all levels for the next year starting from the acceptance year;
- c) Will not be eligible for emulation titles during liquidation year.

CHAPTER V

IMPLEMENTATION ARRANGEMENT

Article 21. Enforcement of the Regulation

This Regulation shall enter into force as of 01/4/2018 and is issued with Decision No.84/QĐ-ĐHKHCN dated 27/3/2018 of USTH's Rector.

Article 22. Implementation Arrangement

1. DRITT is responsible for guiding the Units to implement this document within USTH, in collaboration with Direction of Administration and related functional Units to inspect and supervise the implementation of the regulations and to report to the Rector of USTH.

2. The Units, relevant functional Units, scientists and related individuals are responsible to the Rector of USTH for the assigned tasks; comply with the regulations of USTH on S&T management and conducting other tasks and rights in accordance with the law.

3. When implementing this Regulation, in case of any problem and/or need for adjustment or supplementary provisions, the related Units and individuals shall report to the Rector of USTH (through DRITT) to consider, decide to adjust and / or supplement.

RECTOR

Patrick BOIRON

(Signed and sealed)