

Nº: 153 /QĐ-ĐHKHCN

Hanoi, March 26, 2019.

DECISION

**On issuance of Regulation on management and implementation
of institutional S&T projects**

**RECTOR OF
UNIVERSITY OF SCIENCE AND TECHNOLOGY OF HANOI**

Pursuant to Decision No. 2067/QĐ-TTg dated 9th December 2009 of Prime Minister on establishing University of Science and Technology of Hanoi;

Pursuant to Decision No. 2557/QĐ-TTg dated 30th December 2016 of Prime Minister on issuance of Organization and Operation Regulations of University of Science and Technology of Hanoi;

Pursuant to Decree No. 99/2014/NĐ-CP dated 25th October 2014 of The Government on investment to develop science and technology potential of, and encouragement of science and technology activities in higher education;

Pursuant to Circular No. 22/2011/TT-BGDĐT dated 30th May 2011 of the Ministry of education and training on promulgating regulation on science and technology activities in higher education;

Considering request from Director of Research, Innovation and Technology Transfer and Director of Administration,

DECIDES:

Article 1. To issue together with this Decision the regulation on management and implementation of institutional S&T projects.


Article 2. This Decision takes effect from signing date and replaces to Decision No. 84/QĐ-ĐHKHCN dated 27th March 2018 of Rector of University of Science and Technology of Hanoi on issuance of Regulation on management and implementation organization of S&T projects at institutional level of University of Science and Technology of Hanoi.

Article 3. Director of Research, Innovation and Technology Transfer, Director of Administration, Head of Accounting-Finance department, Head of USTH research units, all USTH lecturers, researchers shall be in charge of implementing this Decision. /.

Recipients:

- As article 3;
- Vice rector Nguyen Hai Dang;
- For record: Clerical Dept.

ACTING RECTOR



Dinh Thi Mai Thanh

(Translation version)

VIETNAM ACADEMY OF SCIENCE
AND TECHNOLOGY
UNIVERSITY OF SCIENCE AND
TECHNOLOGY OF HANOI

SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom - Happiness

Hanoi, 26th March 2019

REGULATION ON THE MANAGEMENT AND IMPLEMENTATION OF INSTITUTIONAL SCIENTIFIC AND TECHNOLOGICAL PROJECTS

*(Issued under the Decision N^o. 153/QĐ-ĐHKHCN dated 26th March 2019
of the University of Science and Technology of Hanoi)*

CHAPTER I GENERAL PROVISIONS

Article 1. Scopes of Regulation

1. This Regulation provides provisions on the management and implementation of institutional Scientific and Technological projects (hereinafter referred to as institutional S&T projects), including selection, reporting, acceptance and handling violations.

2. The management and implementation of institutional S&T projects must strictly follow the regulations and policies set forth by the State and University of Science and Technology of Hanoi (hereinafter referred to as USTH).

Article 2. Scopes of Application

This Regulation is applied to all Education and Research Departments of USTH (hereinafter referred to as the Department), lecturers and researchers of USTH.

Article 3. Objectives and Eligibility of institutional S&T projects

1. Objectives

- a) To enhance USTH's research capacity;
- b) To support lecturers/researchers in implementing the research ideas and preparing for S&T projects at higher level;
- c) To establish research groups in the Department.
- d) To develop or strengthen the research collaboration with sub-institutes of Vietnam Academy of Science and Technology (hereinafter referred to as VAST) and other national and international scientific partners (especially French partners);

d) To promote technology transfer with local and foreign enterprises, especially French ones;

e) To create the high quality S&T products which should contribute to develop S&T and respond to socio-economic development needs of Vietnam.

2. Eligibility of institutional S&T projects

a) Research contents should be determined following the main research directions of USTH, National S&T programs, priority S&T fields of VAST, NAFOSTED, Ministries and Provinces;

b) Projects must effectively support the undergraduate and graduate training at USTH.

Article 4. Type of institutional S&T projects

1. Institutional S&T projects of type 1

a) Fundamental research project: With a maximum of 24 months of implementation and commitment to publish at least 01 publication in an international journal indexed in SCI, SCI-E or Scopus, in which the PI should be the first author or corresponding author;

b) Applied research project or research investigation: With a maximum of 24 months of implementation and commitment to have a technological product which must have an intellectual property with accepted valid application.

2. Institutional S&T projects of type 2

Be implemented in maximum 12 months and commits to publish at least 01 publication in one journal of the following categories, in which the PI should be the first author or corresponding author:

a) National journal within the lists of VAST 1 or VAST 2 (Annex 1);

b) Journal recognized by the State Council for Professor Title of Vietnam;

c) Non-SCI, SCI-E international conference proceedings that have ISSN or ISBN identification;

d) Other international journals.

Article 5. Funding for institutional S&T projects

1. Be taken from regular budget or other funding of USTH and be determined according to the annual financial plan of USTH.

2. Including:

a) Wages paid to projects' members;

b) Small equipment, consumables, materials;

c) Other expenditures (conference, expenditure for working trip, stationary, printing, electricity, water, and overhead,...).

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

1. Generals

- a) Being lecturers/researchers working at USTH;
- b) Having professional competence in the research field of the project.

2. PI of project of type 1

- a) Must not be the PI of a project at National level, Ministerial level, NAFOSTED, VAST or equivalent at the selection time;
- b) Performing an indefinite working contract/labor contract or two year working contract/labor contract signed with 02 year term USTH at the selection time.

3. PI of project of type 2

- a) Having never acted as PI of any institutional project, NAFOSTED project, VAST project or equivalent;
- b) Should be in probation period or performing a two year working contract/labor contract signed with USTH at the selection time.

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

1. To determine the process of institutional S&T projects management and implementation (Annex 2).

2. To coordinate with Accounting-Finance Department to estimate the budget for the implementation of institutional S&T projects, basing on approved annual financial plan and submit to the Rector for approval.

3. To select members of Evaluation Councils and Acceptance Councils for institutional S&T projects (hereinafter referred to as the Councils), and submit to the Rector for approval.

4. To guide the PIs on submitting applications, technical reports and acceptance dossier as regulated.

5. To guide the Departments and Councils on conducting the evaluation, selection and acceptance of the projects.

6. To announce information and documents related to institutional S&T projects, to record evaluation results and acceptance dossiers as regulated.

7. To chair, coordinate with related Parties to transfer the research results of institutional S&T projects.

8. To supervise and propose measures for handling violation, if any.

Article 8. Duties of Accounting-Finance Department

1. To guide the PIs to build provisional budget that suits with objectives, following the current legal financial regulations and policies.

2. To timely allocate the budgets for research and implement payment procedures; to provide supervision, guidance and make report on the use of budgets.

3. To chair and coordinate with DRITT on reviewing and evaluating the provisional budget according to State and USTH's regulations.

Article 9. Duties of Departments

1. To organize and assign PI for projects.

2. To support PIs to build institutional S&T proposals.

3. To propose the list of members of the Evaluation Councils and Acceptance Councils.

4. To organize and supervise the implementation of institutional S&T projects in the Department.

Article 10. Duties and responsibilities of PIs

1. To submit pre-proposals of institutional S&T projects following regulations.

2. To adjust pre-proposals based on recommendations of Evaluation Council.

3. To ensure the internal management and coordination of projects' members.

4. To constitute the main contact to Councils, Departments, DRITT and Rector Board.

5. To implement project following the approved contents, objectives, and schedule.

6. To take responsibility for the contents, research results and reporting data of the project.

7. To report to Direction of Department about the project implementation on a regular basis.

8. To submit the mid-term technical report (for project of type 1) and final technical report to DRITT when requested.

9. To disburse project's budget according to the State and USTH's current regulations.

10. To ensure that project's outcomes are the ones that have been stated in the approved proposal (Template A7, B1, Annex 3).

11. To be responsible for collecting the comments, correcting, finalizing, or supplementing and explaining contents (if any) in the report following the comments of the Acceptance Council and send to DRITT according to the regulation.

Article 11. Evaluation Councils and Acceptance Councils for institutional S&T projects

1. Members of Evaluation Councils and Acceptance Councils are proposed by DRITT, with suggestion of related Departments and approved by the Rector.

2. Members of the Councils must be experts in project's research field.

3. Members of the Councils might be USTH members or USTH outsider.

4. A Council must have at least 05 members, including 01 chairman; 01 scientific secretary; 02 reviewers, in which at least 01 reviewer comes from outside of USTH (for projects of type 1); and members. PIs and project's members are not allowed to be members of the Councils.

5. There must be at least 2/3 members of the Council to participate in the Council meeting, in which the presence of chairman and scientific secretary is compulsory. The hard copy of comments given by 02 reviewers is also required.

6. The Councils have to send results of evaluation and acceptance to DRITT within 30 days since the signing date of the decision on establishment of the Councils.

7. Members of Councils shall be responsible to the Rector for the results of project evaluation and acceptance.

CHAPTER II APPLICATION, SELECTION AND EVALUATION PROCESS OF INSTITUTIONAL S&T PROJECTS

Article 12. Selection of institutional S&T projects

1. Selection of institutional S&T projects is made in two steps:

a) Step 1: Selection of pre-proposal (by DRITT in coordination with Departments);

b) Step 2: Evaluation of full proposal for the pre-selected proposals according to step 1 (by Evaluation Councils).

2. Criteria for evaluation of full proposal, including:

a) Objectives, scientific value and potential application;

b) Novelty and feasibility;

c) Research methodology and research content;

d) Capacities of PI and project's members to ensure their role in the project;

đ) Project implementation plan;

e) Rationality of provisional budget.

3. Based on conclusion of the Evaluation Councils and Financial Evaluation team, the Rector shall issue the final decision on approving budget allocation and implementation of the projects.

Article 13. Application dossier

PI shall submit application dossier (soft copy and 04 hard copies in book format with full needed signatures) to DRITT, including:

1. Cover page (Template A1, Annex 3).
2. Full proposal (Template A2, Annex 3).
3. Curriculum Vitae of PI and project members (Template A3, Annex 3).
4. Confirmation of attendance of projects' members for members from outside USTH (Template A4, Annex 3).
5. Provisional budget (Template A5, Annex 3).

CHAPTER III

REPORTING AND LIQUIDATING WORKING RESULTS OF THE INSTITUTIONAL S&T PROJECTS

Article 14. Reporting on institutional S&T projects implementation

1. PI submits a mid-term technical report of project of type 1 (Template B3, Annex 3) to DRITT, describing the progress of the approved research contents and related funding.

2. PI sends a final technical report to DRITT within 30 days after receiving requirement.

Article 15. Project acceptance dossier

1. Project acceptance dossier includes:

- a) Request for acceptance of the institutional S&T project (Template B6, Annex 3);
- b) Summary of project results (Template B5, Annex 3);
- c) Final technical report (Template B4, Annex).

2. If the project is completed ahead of schedule, PI can send the acceptance dossier to DRITT (Template B4, B5, B7, and Annex 3).

3. Upon the request of the Acceptance Council, PI shall submit a set of revised acceptance document to DRITT which integrates the revision and/or clarification responding to the request of Acceptance Council, including:

- a) Final technical report (adjusted, if any) (Template B4, Annex 3);

- b) Summary of project results (Template B5, Annex 3);
- c) Minutes of meeting of Acceptance Council (Template C9, Annex 3);
- d) Conclusion of Acceptance Council on main results of project (Template B8, Annex 3);
- đ) Explanation on the finalization of final technical report (Template B9, Annex 3).

4. Outcomes that are scientific papers which must meet the Article 4 of this Regulation and ensure the following requirements:

- a) PI uses the correct USTH, VAST affiliation in the publication (refer to the Decision N^o. 278/QĐ-ĐHKHCN dated 14th September 2016 by Rector of USTH);
- b) The sources of financial supports must be explicitly mentioned in the scientific paper.

Article 16. Project extension

1. In the case the project is not able to be completed within the approved schedule (only for project of type 1), PI has to submit to DRITT, at least 02 months before the end of the project, a request for project extension (Template B2, Annex 3), validated by the Department's Direction.

2. The project will be extended for maximum 12 months and only in one time.

3. Based on the workload, completed and uncompleted works as well as the funding status, DRITT shall submit the request for project to the Rector for the final decision.

Article 17. Ranking of liquidated projects

1. The project will be ranked based on the evaluation result of majority of Council members.

2. Institutional S&T projects are liquidated according to 04 levels: Excellent, Good, Average and Failend.

- a) Excellent: From 85 points & more;
- b) Good: From 70 points to less than 85 points;
- c) Average: From 50 points to less than 70 points;
- d) Failed: Less than 50 points or be evaluated as dishonest in science.

3. Based on the evaluation of Acceptance Councils, USTH's Rector shall issue a decision on liquidating institutional S&T projects.

Article 18. Treatment of property

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

CHAPTER IV HANDLING VIOLATIONS

Article 19. Modes and handling of violation

1. Mode of violations

- a) Project that has been expired (approved extension period included) but not being able to complete the acceptance procedures;
- b) Be evaluated as "Failed" by Acceptance Council.

2. Handling of violations

If the PIs violate one of the violations modes mentioned in Clause 1, Article 19:

- a) PIs have to return an amount equivalent to 30% of the total allocated fund;
- b) The Departments shall be responsible for supporting USTH to recover the above mentioned reimbursement;
- c) PIs will not be allowed to apply to be PI of projects at any level in the subsequent year starting from the year of project acceptance;
- d) Will not be eligible for emulation titles during acceptance year.

CHAPTER V IMPLEMENTATION ARRANGEMENT

Article 20. Enforcement of the Regulation

1. This Regulation shall enter into force as of 26th March 2019 and is issued with Decision N^o. 153/QĐ-ĐHKHCN dated 26th March 2019 by Rector of USTH.

2. The institutional S&T projects approved before effective date of this Regulation are implemented following regulation on management and implementation organization of institutional S&T projects issued together with Decision No. 84/QĐ-ĐHKHCN dated 27th March 2018 by Rector of USTH.

Article 21. Implementation Arrangement

1. DRITT is responsible for guiding the Departments to implement this Regulation, in collaboration with Direction of Administration and related functional Departments to inspect and supervise the implementation of the regulation and report to USTH's Rector Board.

2. The Departments, relevant functional Departments, lecturers/researchers and concerning individuals are responsible to the Rector of USTH for the assigned tasks; comply with the regulations of USTH on S&T management and executing other tasks and rights in accordance with the law.

3. Any problems and and/or needed adjustment or supplement arisen during the implementation of this Regulation, shall be reported by the related Departments and individuals to the Rector of USTH through DRITT for considering, adjusting and supplementing if needed.

ACTING RECTOR

Dinh Thi Mai Thanh

(Signed and sealed)

ANNEX 1

National journal on the VAST1 list or VAST2 list

*(Attached with the Decision N^o. 153/QĐ-ĐHKHCN dated 26th March 2019
of Rector of University of Science and Technology of Hanoi)*

1. National journal on the list of VAST1 (03 journals)

- a) Advances in Natural Sciences: Nanoscience and Nanotechnology;
- b) Vietnam Journal of Mathematics;
- c) Acta Mathematica Vietnamica.

2. National journal on the list of VAST2 (09 journals)

- a) Communications in Physics;
- b) Vietnam Journal of Mechanics;
- c) Journal of Computer Science and Cybernetics;
- d) Journal of Science and Technology;
- đ) Journal of Chemistry;
- e) Journal of Marine Science and Technology;
- g) Journal of Biotechnology;
- h) Vietnam Journal of Earth Sciences;
- i) Journal of Biology.

ANNEX 2

Process on management and implementation of institutional S&T projects

*(Attached with the Decision N^o. 153/QĐ-ĐHKHCN dated 26th March 2019
of Rector of University of Science and Technology of Hanoi)*

No	Agenda	Action	Implementation
1 th step	4 th trimester- year N-1	Announcement to Departments /Individuals to apply (pre- proposal) for the institutional S&T projects of year N	DRITT
2 nd step		Submission of pre-proposal to DRITT	Lecturers and Researchers
3 rd step		Notification of pre-selection results	DRITT
4 th step	1 st trimester - year N	Proposing members of Evaluation Councils	DRITT & related Departments
		Approval for Councils's members	Rector
5 th step		Evaluation of full proposals (scientific and financial evaluation)	Evaluation Councils and Financial evaluation team
6 th step		Final approval of institutional S&T project	Rector
7 th step	1 st trimester - year N to 4 th trimester - year N+1	Implementation of institutional S&T projects of type 1	PI
	1 st trimester to 4 th trimester - year N	Implementation of institutional S&T projects of type 2	PI
8 th step	4 th trimester - year N	Mid-term technical report (for institutional S&T projects of type 1)	PI

		Final technical report (for institutional S&T projects of type 2)	PI
	4 th trimester - year N+1	Final technical report (for institutional S&T projects of type 1)	PI
9 th step	4 th trimester - year N	Acceptance of institutional S&T projects of type 2	DRITT, in coordination with Acceptance Council
	4 th trimester - year N+1	Acceptance of institutional S&T projects of type 1	DRITT, in coordination with Acceptance Council

ANNEX 3

Template for management of institutional S&T projects

*(Attached with the Decision N^o. 153/QĐ-ĐHKHCN dated 26th March 2019
of Rector of University of Science and Technology of Hanoi)*

A. Application dossier

Code	Content
Template A1	Cover page
Template A2	Full proposal
Template A3	Curriculum Vitae of PI and project's members
Template A4	Confirmation of attendance of project's members (for members from outside USTH)
Template A5	Provisional budget
Template A7	Commitment

B. Acceptance dossier

Code	Content
Template B1	Request for adjustment of provisional budget
Template B2	Request for extension
Template B3	Mid-term technical report
Template B4	Final technical report
Template B5	Summary of project's results
Template B6	Request for acceptance
Template B7	Request for acceptance ahead of the deadline
Template B8	Conclusion of Acceptance Council
Template B9	Explanation on finalization of final technical report

C. Template for the Councils

Code	Content
Template C9	Minute of meeting of Acceptance Council