

Zhejiang Lab

Management Rules and Regulations for Open Projects

(Trial)

Announced by Zhejiang Lab on January 23, 2019

Chapter I General Provisions

Article 1

Zhejiang Lab (hereinafter referred to as “the Lab”) is a novel type of research institution. In order to fully leverage its role as an open platform and expand its academic influence, the Lab has established a program to fund open projects (hereinafter referred to as “the Program”) based on the principle of resource sharing and open innovation. The Lab hereby formulates the management rules and regulations for the Program.

Article 2

The Lab will release *Application Guides for Open Projects* (hereinafter referred to as “the Guides”) in each quarter, evaluate project proposals, and support projects related to the research interests of the Lab.

Chapter II Compilation and Announcement of the Guides

Article 3

Research centers of the Lab shall fill out *the Proposal Form for Open Project Application Guides* according to the research interests and development plans of each center. The Department of Research Development shall collect and review all proposals, and shall release the Guides after approval by the Lab’s leadership member in charge of the research section.

Article 4

The Department of Research Development shall release the Guides in each quarter on platforms such as the Lab's official website and WeChat platform, inviting project proposals from researchers in China and abroad.

Chapter III Application and Project Establishment

Article 5

Applicants shall hold a PhD degree or a senior academic/technical title. In the event that an applicant has already undertaken any projects launched by the Lab, whether as a project director or a project member, the applicant shall not be considered eligible if he or she has undertaken more than one project of this kind. Applicants are encouraged to work with researchers of the Lab for joint applications. Full-time staff of the Lab (including full-time members who also hold positions in other organizations) shall not be allowed to apply as a project director.

Article 6

The duration of each open project is one to two years, with a research fund ranging from 500,000 to 1,000,000 CNY.

Article 7

An applicant shall fill out *the Zhejiang Lab Application Form for Open Projects* (hereinafter referred to as "the Application Form") as required.

Article 8

Project proposals shall be reviewed and approved through the following procedures:

a) Formal review. The Department of Research Development shall

perform formal review on all applications. Applications with the following issues shall be classified as ineligible:

1. The application materials are not complete, or the information is not filled out as required;
2. The research topic does not match the research areas listed in the Guides;
3. The proposed project director does not meet the criteria for eligibility.

b) Peer review. The Department of Research Development shall organize a peer review panel consisting of five to nine experts. The panel will review all research and budget plans based on pre-submitted presentation videos, the Application Forms, and necessary discussion over the phone. Each expert represents one vote, and if an application wins more than two thirds of the total votes, the proposed project shall be established.

Article 9

When an open project is established, the Lab will sign a *Statement of Work for Zhejiang Lab Open Projects* (hereinafter referred to as “the Statement”) with the project director. The term of the project shall start from the signing date of the Statement.

Article 10

The Department of Research Development shall submit the list of established projects in each quarter to the Directors’ Meeting of the Lab for approval.

Article 11

Researchers outside mainland China may visit the Lab for open projects with the consent of their home institutions. Overseas researchers applying for open projects as individuals shall ensure that their applications do not violate the rules and regulations of their home institutions, and will not cause any breach of contract or

infringement to their home institutions or any other party. Otherwise, the applicant shall assume full responsibility for any consequence. In principle, project funds granted to overseas applicants shall not be allocated to any other individuals or institutions.

Chapter IV Process Management and Project Completion

Article 12

The Department of Research Development manages all open projects, organizes or approves project application and establishment, as well as the signing of the Statement, project changes, mid-term reviews, and final reviews. Research centers shall provide technical support for specific projects relevant to the research interests of the center.

Article 13

Concerning changes such as downgrading project goals, postponing project completion, and project termination, the project director shall submit a written application to the Department of Research Development for approval. In principle, the project director shall not be replaced. In the event that a project director leaves and works for another institution, the project may be transferred to the director's current affiliation by consensus between the previous and the current affiliations. If the two sides fail to reach consensus, the project shall be terminated.

Article 14

The Department of Research Development shall organize mid-term reviews for open projects. Project directors shall submit *the Mid-Term Progress Report* as scheduled in the Statement. A project director shall spend no less than one month at the Lab for the project.

Article 15

Within one month after the completion of all research work, the

project director shall submit the request for final review with required materials, including:

- a) The Project Completion Report;
- b) The Financial Statement;
- c) Project Outcomes (software source codes and operating instructions; design schematics and design codes; prototype devices, samples, and prototypes; patents, papers, standards, software copyrights, and the registration of exclusive rights of IC layout designs; and operating instructions of prototypes).

Article 16

In the event that a project director does not submit the Project Completion Report or the request for final review within one month after the scheduled closure of the project, the Lab will notify the project director's home institution and shall not allow the project director to apply for any type of projects with the Lab in the future.

Article 17

For projects with outstanding outcomes, the Lab will continue project funding, or re-fund the projects as key or major research projects.

Chapter V Fund Management

Article 18

The funds for open projects shall be kept in a separate account and used exclusively for open projects. If necessary, the Lab can conduct random audits on the use of the funds.

Article 19

The budget of an open project includes research and experiment expenses, personnel and communication fees, and management and incentive expenditures. The budget plan under each budgetary item shall include the basis of estimation, but does not require a

detailed table.

In principle, the budget for management expenditures shall not exceed 8% of a project's total budget, and shall not be increased after the establishment of the project. To adjust incentive expenditures, the project director shall file a request to the Department of Research Development for approval. The project director is authorized to adjust budgets under other budgetary items.

Article 20

For researchers in China, the approved funds for an open project will be granted to the organization undertaking the project in two phases (50% for the first phase and 50% after the mid-term review). If the Lab finds any misuse of the funds during the mid-term review, or any failure to complete phased goals as scheduled, the Lab has the right to terminate or cancel the funding.

Chapter VI Outcome Management

Article 21

The outcomes of open projects funded by the Lab shall be shared by the Lab and the organization undertaking the project. Relevant papers and books shall specify that "This paper (book) is sponsored by Zhejiang Lab (Project No. ****)". Zhejiang Lab shall be listed as the first organization for relevant patents, software, standards, IC layout designs, and other research outcomes.

Chapter VII Supplementary Provisions

Article 22

Relevant members of an open project shall strictly abide by the confidentiality policy of the Lab and the confidentiality clause(s) of the contract for a specific project, and shall not disclose any technical or commercial secret relevant to the project.

Article 23

The rules and regulations stipulated herein shall be interpreted by the Department of Research Development of Zhejiang Lab.

Article 24

The rules and regulations stipulated herein shall be implemented from the date of announcement.