



Regulation of the CAS-ANSO Co-funding Research Project (January 2024)

Chapter I: General Provisions

Article 1: The CAS-ANSO Co-funding Research Project aims to promote sustainable economic and social development, and contribute to the advancement of high-quality Belt and Road cooperation, and explore a co-funding mechanism. It encourages the Alliance of National and International Science Organizations for the Belt and Road Regions' (ANSO) Member organizations to jointly engage in scientific, technological, and innovative research cooperation with the institutes of the Chinese Academy of Sciences (CAS).

Article 2: This Regulation is formulated to promote international cooperation in science and technology and establish comprehensive management policies for the CAS-ANSO Co-funding Research Project.

Article 3: The CAS – ANSO Co-funding mechanism includes various forms, such as financial support, venues, personnel, partner resources, and material resources.

Article 4: This Regulation applies to the ANSO Projects funded by CAS.

Chapter II: Responsibilities

Article 5: The ANSO Secretariat, with the support and guidance of CAS and the ANSO Governing Board, serving as the executive agency for the CAS-ANSO Co-funding Research Project, bears responsibilities for planning and designing the Project, as well as its initiation and management, and the overall rational and effective use of the project funds.

Article 6: The ANSO Secretariat entrusts a third-party agency or scientific research experts to manage the Project to ensure the fairness and effectiveness

of activities involved in the project management process, such as conducting the proposal processing and reviewing, supervising and monitoring the implementation of the projects, etc.

Article 7: The ANSO Secretariat entrusts a third-party accounting agency or financial experts to conduct project financial evaluation. The agency or expert is responsible for reviewing and evaluating the rationality and relevance of the project budget and final accounts.

Article 8: The Proponent's Affiliations refers to the ANSO Member organizations (outside of mainland China), or the prestigious scientific research institutions they recommend in the respective countries. These organizations take the main responsibility for the project implementation. They are responsible for the administration, supervision, and implementation of the projects. They also bear responsibility for the authenticity and validity of the project information, and the completion of the projects. Their main responsibilities include:

- To organize proposal submission and recommendations within the respective organization;
- To sign the project proposals with principal investigators (PIs), ensure the co-funding and other support conditions agreed upon in the project are in place, and also ensure the completion of the project objectives;
- To guide and supervise PIs in implementing the project, address issues that may arise, and provide review opinions on major adjustments;
- To confirm the receipt of project funds and manage fund utilization during implementation, oversee and verify the proper utilization of project funds;
- To manage and archive project-related documentation in all aspects of the project preparation and implementation;
- To enforce intellectual property management for the technologies involved, promote the protection, application, and transformation of collaborative results, and safeguard the rights and interests of all involved parties.

Article 9: The Collaborating Organizations refer to the CAS institutes and other scientific research institutes and universities in countries associated with the Belt and Road Initiative. They are responsible for providing the supporting conditions under the guidance of the Proponent's Affiliations, such as personnel, equipment, etc. This ensures the implementation of the project and the successful accomplishment of the objectives and tasks.

Article 10: The PIs refer to both the scholars from the overseas Proponent's Affiliations and the Chinese Co-PIs from CAS. They hold complete project management authority within the approved project plan and budget,

following related rules and regulations. They are responsible for budget implementation and task completion. Their main responsibilities include:

- To diligently fulfill and complete the project plan and tasks, adhere to relevant management regulations;
- To comply with *Financial Regulations for ANSO Projects* and strictly adhere to the approved project budget for expenditure;
- To report major issues arising from project implementation objectively and promptly;
- To cooperate with and accept supervision, inspection, and evaluation conducted by the ANSO Secretariat, third-party agencies as well as the Proponent's Affiliations;
- The Co-PIs from CAS shall exercise supervisory authority.

Chapter III: Project Preparation and Implementation

Article 11: The CAS-ANSO Co-funding Research Program shall be organized and executed under the principles of “demand-driven, problem-oriented, multi-party participation, and priority on impact”.

Article 12: Project Preparation. The ANSO Secretariat, in consultation with CAS and the ANSO Member organizations, shall formulate and release the annual call for proposals and its guidelines. Applicants are required to submit project proposals as per the specified guidelines, and priority will be given to the projects recommended by CAS and ANSO Members organizations for inclusion in the review process. The ANSO Secretariat will then assign the proposals to the third-party agency or scientific research experts to conduct peer review and subsequently announce the project initiation upon final approval.

Article 13: Project Implementation. The Proponent's Affiliation shall proactively take responsibility for the project administration, supervision, and implementation. They are also required to collaborate with the third-party agency or the experts (mentioned in Article 6 and Article 7) that ANSO entrusts to conduct performance management, such as annual reviews and final evaluations, and also to coordinate and tackle the problems that arise in the process of project implementation.

Article 14: Scientific Research Evaluation and Financial Evaluation. A comprehensive research evaluation shall be conducted through either a letter peer review or a combination of letter peer reviews and evaluation meetings. After the evaluation, PIs will receive the result of either “Passed” or “Failed” for their projects.

Article 15: Project Completion. Based on the research and financial evaluation results, the ANSO Secretariat shall issue a project completion announcement after the final approval.

Article 16: Archives. The Proponent's Affiliation and the third-party agency shall coordinate with the ANSO Secretariat to effectively organize, manage, and archive project documents at all stages of project preparation and implementation, including proposal submission, peer review, research and financial evaluation, grant closeout, etc.

Chapter IV: Funds Management

Article 17: The utilization of funds for scientific research projects implemented outside of mainland China must strictly adhere to the *Financial Regulations for the ANSO Projects*. Fund users shall comply with the requirements of the project agreements, as well as the provisions of the relevant laws and regulations. Additionally, they shall accept the supervision from relevant authorities. The Proponent's Affiliation should also establish relevant supervising mechanisms, ensuring the prudent management of the external funds allocated to other collaborators.

Article 18: Project funds administered by the institutes of CAS, shall be managed in accordance with the guidelines and principles of CAS.

Chapter V: Intellectual Property

Article 19: The management of Intellectual Property shall follow the principles of the project agreement. Additionally, intellectual property laws and regulations of the relevant countries should also be followed, including China, ANSO Member countries, and the countries where the project collaborating organizations are located, as well as the relevant international conventions or bilateral treaties on the protection of intellectual property that the above-mentioned countries have participated in or have signed with the governments of the cooperating parties.

Article 20: Special clauses on intellectual property shall be designed and clarified among the Proponent's Affiliation and their collaborating organizations, explaining the distribution of rights and interests, liability for breach of agreement, dispute handling, and other intellectual property matters involved in or arising from collaboration.

Article 21: The intellectual property of the project outcomes (such as papers, monographs, patents, etc.) obtained during the project implementation period shall be managed in accordance with the project agreement. In addition, the CAS-ANSO Co-funding Research Project should be ranked as one of the top

three sponsors in the relevant publications as “Supported by the CAS-ANSO Co-funding Research Project, (Grant No. XXX)”, against which will not be evaluated or accepted for the final evaluation.

Article 22: The PIs and their affiliations shall submit the project outcomes to the ANSO Secretariat in a timely manner, and engage in the promotion of the project outcomes. The project shall be finalized and completed only after the relevant outcomes are published through the public platforms of CAS, ANSO, and other non-academic journals.

Chapter VI: Additional Clauses

Article 23: This Regulation shall come into effect upon issuance, and the ANSO Secretariat is responsible for its interpretation.