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海洋地质国家重点实验室

State Key Laboratory of Marine Geology, Tongji University

# Regulations for the Open Fund Project of the State Key Laboratory of Marine Geology

(Revised March 2022)

## I. General Provisions

The State Key Laboratory of Marine Geology (hereinafter referred to as “the Laboratory”) is oriented to the international ocean science frontier, particularly the deep-sea scientific research, with an emphasis on “Three Deeps” technology: deep drilling, deep observatory and deep diving. Under the guidance of two long-term academic objectives: (1) low-latitude forcing of climate evolution and (2) geological evolution of the western Pacific, the Laboratory is devoted to comprehending the Earth as a system based on studying the sea-land and cross-sphere interactions of the Earth. Aiming at building itself a world-class basic deep-sea research center and talent training base, the Laboratory is committed to promoting inter-disciplinary research, as well as the development and application of new technologies and equipment.

In light of the *Measures for the Construction and Operation of State Key Laboratories* and the *Measures on the Management of Special Funds of State Key Laboratories* and the principle of “Openness, Sharing, Cooperation and Innovation”, the “Open Fund Project of the State Key Laboratory of Marine Geology” (hereinafter referred to as “the Project”) is hereby formulated to attract and gather high-level renowned scientists and scholars from China and overseas to carry out cooperative research and academic exchanges, which are related to the academic objectives and may utilize the available resources of the Laboratory.

## II. Scope of Funding

### 1. Funding Range

The Project should perform researches that are consistent with the Laboratory’s research directions, and makes use of the platform and resources of the Laboratory (e.g., sample, data, equipment, computers, etc.). The Project is also a measure for collaborating with the Laboratory on scientific researches and/or technological developments.





同濟大學

海洋地质国家重点实验室

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A formal application shall be submitted, within which the applicant needs to elaborate the relevance of the research plan to the main research focuses of the Laboratory, the utilization of available resources of the Laboratory, the approaches for future cooperation, and/or the potential achievements that may be produced from the Project.

## 2. Funding Target

The Laboratory invites both domestic and overseas scientific and technical researchers with a doctoral degree and an intermediate or above professional title (including post-doctoral researchers) to apply for the Project. Faculty, researcher or technician of the Laboratory cannot apply for the Project as a principal investigator (PI).

## 3. Duration and Support

Each project once funded will have a two-year duration with a total budget not exceeding 100,000 RMB.

## III. Application of the Project

### 1. Application Requirements

The Laboratory accepts applications that meet the following criteria:

(1) Research with novel academic ideas, adequate arguments, clear objectives, specific contents, reasonable and feasible research methods and technical routes, and having the potential to achieve significant progress in a foreseeable future, as well as agreeing with the *Guidelines for Open Fund Project Application of State Key Laboratory of Marine Geology* published in the same year.

(2) Applicant and project members are expected to have the research capability, research conditions and sufficient time to implement the Project.

(3) Funding budget should be realistic and feasible.

(4) The applicant shall be the PI of the Project, and needs to assign one researcher from the Laboratory as the liaison of the Project.

### 2. Application Process

Call for application will be issued in December each year (actual date may vary).





同济大学

海洋地质国家重点实验室

State Key Laboratory of Marine Geology, Tongji University

Applicants should fill in the *Application Form for Open Fund Project* in accordance with the prescribed format and then email the signed and sealed application form to [mlab@tongji.edu.cn](mailto:mlab@tongji.edu.cn).

### 3. Restrictions

(1) There shall be no more than one project that the applicant applies for together with the funded research project he/she undertakes.

(2) The conclusion report and closure assessment, as well as relevant research results of the previously funded project shall be attached to the application form for evaluation when applying again for the Project.

## IV. Examination, Approval and Initiation of the Project

### 1. Preliminary Examination

Applications may be rejected in the preliminary round of examination, in the case of:

(1) Procedure of the application is incomplete and the submitted application form does not conform with regulations;

(2) Content of the application does not conform to the scope of the Project;

(3) The applicant has one project in progress and applies again;

(4) The applicant lacks the capability or condition to implement the project applied;

(5) The academic novelty, theoretical basis, research method and/or technical route of the application have significant pitfalls that will impede further evaluation of the Project;

(6) The Project has unrealistic research objectives, excessive funding budget or sufficient funding obtained from other institutions.

(7) Applicant had obtained funding from the Laboratory, but violated the relevant regulations and failed to rectify as required in the project implementation phase; or had not gained any research outputs (including publications, student training, data analysis results, etc.) from the support of the Laboratory.

### 2. Evaluation and Initiation





同济大学

海洋地质国家重点实验室

State Key Laboratory of Marine Geology, Tongji University

Applications that have passed the preliminary examination will be sent for evaluation to the Laboratory Open Fund Project Review Committee composed of senior researchers of the relevant research fields. The need and feasibility of the projects will be evaluated.

Based on the preliminary examination and committee review, the evaluation opinions will be summarized in an objective and fair manner and submitted to the Laboratory Affairs Committee (guided by the Laboratory Academic Committee) for final approval and initiation.

### 3. Signing

Once approved, the applicants shall have to enter into contracts with the Laboratory and fill in the *Research Plan of the State Key Laboratory of Marine Geology Open Fund Project*, which need to be approved by the institution of the applicant and will be the basis for the implementation and management of the Project. Delayed submission without any reasonable explanation within a specified period will be regarded as voluntary withdrawal from the Project.

The funded project will enter the implementation phase from the following month after the Laboratory receives the research plan.

## V. Implementation and Conclusion

### 1. Project Implementation

The approved projects will be included in the Laboratory's research plans.

During the implementation of each project, changes to the research contents and objectives of the research plan are disallowed in general. According to the research plan, the PI needs to work in the Laboratory for a certain time (in principal, at least 15 days per year). Academic lectures can be arranged during the PI's visit to facilitate academic exchanges and cooperation with laboratory researchers. The PI shall register with the Laboratory's Science Coordinator when he/she visits and leaves.

### 2. Annual Report

During the implementation of the Project, the PI needs to submit the *Annual Progress Report on Open Fund Project* (in the template format) to the Laboratory at





同济大学

海洋地质国家重点实验室

State Key Laboratory of Marine Geology, Tongji University

the end of the first year (before Dec. 31st), outlining the progress, the achievement of expected objectives, the implementation of funds, and the acquired and/or expected results, etc.

The Laboratory will review the report and give evaluation opinions. The Laboratory is entitled to suspend or terminate the fund if the evaluation result is unqualified. For outstanding projects, continuous funding will be given, and the PIs can be invited to further academic exchange activities organized by the Laboratory.

### **3. Concluding Report**

Upon completion of the work, the *Concluding Report on Open Fund Project* shall be submitted to the Laboratory for acceptance within one month (before Dec. 31st), accompanied by relevant original materials and copies of published papers (or electronic version). The report shall include an adequate summary of the progress, achievements and difficulties of the Project.

### **4. Closure Assessment**

The closure of a completed project will be arranged by the Laboratory Open Fund Project Review Committee on the basis of annual report and concluding report, focusing on the following aspects: research collaboration, research results, degree of completion, duration and effect of the PI's visit, and budget expenditure, etc., and finally assessed and accepted by the Laboratory Affairs Committee.

For the projects having outstanding achievement, application for continuation will be considered upon the annual report of the project, and application for rolling support on further studies will be considered with priority upon the project conclusion of the project; the PI and collaborator can be invited to further academic exchange activities organized by the Laboratory; major achievements can be featured in the Annual Report of the Laboratory and our WeChat Official Accounts.

## **VI. Budget and Expenditure**

### **1. General Rules**

The allocated fund for each Project will not be transferred to the PI's institution, as all expenses shall be reimbursed by the Laboratory. The use and management of the





同济大学

海洋地质国家重点实验室

State Key Laboratory of Marine Geology, Tongji University

project funds are strictly in accordance with the *Measures on the Management of Special Funds of State Key Laboratories* and the project research plan.

The budget shall be planned on an annual basis and in accordance with the actual expenditure. Each receipt should be submitted to the Laboratory before the annual closing date (Nov. 30th for projects that will complete in the same year, and Dec. 31st for projects that will continue to implement), and an overdue will not be accepted. The use of funds will cease from the end of the Project, and surplus funds will be withdrawn by the Laboratory.

## 2. Use of Fund

The grant shall only be used in supporting the PI's visit to and the Project's work in the Laboratory. The use of funds covers the follows:

- (1) Analytical and testing fees;
- (2) Travel expenses, accommodation, transport and food allowances for the PI's visit to the Laboratory (will be arranged by the Laboratory in principle);
- (3) Publication and material fees, and other relevant costs for academic activities incurred from the funded research (grants for attending international or domestic conferences shall not be included).
- (4) The use of funds does not cover:
  - A. Testing fees incurred in other institutions and transferred out from the Laboratory;
  - B. Other research fees not related to the Project or incurred in other institutions;
  - C. Costs from the staff of the Laboratory.

## 3. Reimbursement

The Laboratory Affairs Committee is entitled to inspect the Project and the performance of the funds, which will be published on a quarterly basis. All costs shall be reimbursed later in the Financial Department of Tongji University. The reimbursement should be cost-based within the budget, and any excess would not be covered by the Project.

During the PI's visit to Tongji University, the reimbursement should be assisted by the liaison of the project (a designated Bank Account is required), each receipt





同濟大學

海洋地质国家重点实验室

State Key Laboratory of Marine Geology, Tongji University

should be signed by PIs themselves and submitted to the Science Coordinator of the Laboratory for a preliminary examination. After the reimbursement, the Science Coordinator will notify the liaison of the Project, who will get contact with the PIs afterwards.

## VII. Results Annotation

Research results obtained from the Projects shall be shared by the PIs, the institutions to which the related researchers belong and the Laboratory. For published papers, monographs and reward applications, etc., the support by the State Key Laboratory of Marine Geology, Tongji University shall be properly acknowledged, e.g., by stating “supported by State Key Laboratory of Marine Geology, Tongji University (No. XXX)”.

In addition, according to their contribution, relevant researchers from the Laboratory may be listed as co-authors in the research results of the Projects (not mandatory).

Publications, achievements and patents obtained by the funded projects shall be shared by the researcher and the Laboratory.

## VIII. Supplementary Terms

The State Key Laboratory of Marine Geology reserves the right of final interpretation of this Regulation. This Regulation shall be executed from the date of promulgation.

State Key Laboratory of Marine Geology, Tongji University

March 18, 2022

