

## **REGULATIONS**

### **on structuring and planning of scientific research at JINR**

These Regulation are a local normative act of the Joint Institute for Nuclear Research and set forth requirements aimed at improving the efficiency of the use of material, human, and financial resources during preparation and conduct of scientific research.

#### **1. Terms, definitions, abbreviations.**

1.1 **Scientific field** - a field of scientific, research, technical, organizational, and educational activity, corresponding to the JINR Charter.

1.2. **Basic facility** - JINR scientific infrastructure facility, which allows to provide, during advanced fundamental and applied research, world-class scientific results and includes buildings, premises, machinery and equipment.

1.3 **Large research infrastructure project** - a combination of activities requiring significant financial and organisational resources for the preparation, construction, or refurbishment of a Basic facility.

1.4 **Scientific theme** - the basic unit of the medium-term planning of JINR scientific activities. A Theme includes the main elements: the problem to be studied and the main purpose of research, the expected results upon completion of the Theme and in the current year, Projects and Activities, cooperation on the Theme. Scientific themes are grouped into sections by scientific areas.

1.5 **Scientific project** - the basic unit of the current planning of JINR scientific activity. Scientific, research, technical, organizational, and educational activities of JINR aimed at solving

specific tasks with a definite time frame (up to 5 years) and filled with human, material, financial resources. A Project may include Subprojects, as well as further detailing if necessary.

1.6 **Subproject** - an integral part of the Project, which itself constitutes a planning element.

1.7 **Activity** - theoretical and experimental scientific activity related to the preparation of a new theme, project or the solution of a particular, unplanned exploratory scientific or technical problem, which has arisen in the course of work on an existing project. An activity is a part of a theme that is not included in any of the projects.

1.8. **Collaboration** - an organisational form of scientific activity carried out by an independent consortium of several research organisations significantly contributing to the material, financial and personnel support of this activity.

## **2. Structuring and planning of scientific research.**

2.1 The medium-term planning of scientific activities at JINR is carried out for a period of seven calendar years.

2.2 The main units of medium-term planning are large research infrastructure projects and scientific themes.

2.3 The result of the mid-term planning is formalized in the Seven-Year JINR Development Plan. The Seven-Year Plan is examined by the Scientific Council and enters into force after approval by the Committee of Plenipotentiaries.

2.4 The Seven-Year Plan may be adjusted taking into account the progress of planned research and large research infrastructure projects, the actual implementation of the Institute's budget and external circumstances. Proposals for adjustments to the Seven-Year Plan shall become effective upon approval by the Committee of Plenipotentiaries.

2.5 Current planning of scientific activities at JINR is carried out for the period of one calendar year. The result of the current planning is drawn up in the form of the Topical Plan. The Topical Plan becomes effective upon approval by the Committee of Plenipotentiaries.

2.6 The main units of current planning are scientific projects and activities.

## **3. Themes and large research infrastructure projects.**

3.1 A large research infrastructure project shall be discussed at the Scientific and Technical Council of the Laboratory where the project is to be implemented, at the PAC for the relevant area and at the JINR Scientific Council. If necessary, on the proposal of the JINR Scientific Council, an additional expertise can be carried out, which is assigned to a special expert committee, as well as an external expertise.

3.2 A research theme shall be opened for a period multiple of one calendar year, normally for seven years. A scientific theme may be closed early on the premature termination of all projects within the theme.

3.3 The opening of a new scientific theme is discussed at the Scientific and Technical Council of the Laboratory where the work on the theme is supposed to be carried out, at the PAC for the corresponding area, and at the JINR Scientific Council.

3.4 A proposal to open an inter-laboratory (institute-wide) research theme shall be discussed at the STC of all participating laboratories.

3.5 The JINR Director by his order appoints the theme leader and his deputies to lead the team working on a given theme. The order establishes the term of office of the theme leader and his deputies.

3.6 The research theme is to be closed when all projects of the theme have been completed.

#### **4. Research projects and activities.**

4.1 A scientific project shall be opened for a period multiple of one calendar year, lasting no longer than five years. The scientific theme under which the project is carried out shall be extended by the time required to complete the project.

4.2 The opening of a new scientific project is discussed at the Scientific and Technical Council of the laboratory where the work on the topic is to be carried out, at the PAC for the corresponding area, and at the JINR Scientific Council. The JINR Director decides on the opening of a new scientific project.

4.3 A scientific project may only be opened as part of a scientific theme.

4.4 The opening of a new Activity shall be proposed by the Laboratory Director or scientific theme leader and discussed at the Laboratory STC. The Laboratory Director decides on opening of an Activity.

4.5 In exceptional cases, a new Activity may be opened outside the scientific theme by a decision of the JINR Director, after discussion at the JINR Scientific Council. In this case, the Activity is to be financed from the Directorate's reserve.

4.6 An Activity shall be opened for a period multiple of one calendar year, lasting no longer than three years. Thereafter, the Activity must either be discontinued or converted into a scientific project.

## **5. Reporting. Suspension and early termination of projects.**

5.1 The effectiveness of themes and projects is determined by the significancy and scientific level of the scientific results obtained, the increase of staff capacity, the quality and the volume of the contribution to the increase of the Institute's fixed assets.

5.2 Leaders of scientific projects submit annual progress reports on the implementation of projects to the leaders of scientific themes within the deadlines set by the JINR Directorate.

5.3. Leaders of a scientific theme or a large research infrastructure project shall annually submit to the Chief Scientific Secretary of the Institute, within the terms established by the JINR Directorate, progress reports on the implementation of a scientific theme or a large research infrastructure project. The reports of the leaders of scientific themes must include reports on scientific projects and activities within the theme.

5.4 If circumstances arise that prevent the achievement of the project objectives, the question of suspension or early termination of the project in question shall be submitted to the Scientific Council following discussion by the PAC in the relevant area.

## **6. Features of work planning in international collaborations.**

6.1 Participation of JINR in an international collaboration is formalised as a scientific project.

6.2 When preparing a project and carrying out work as part of an international collaboration, a prerequisite is the conclusion of a cooperation agreement with the scientific and educational organisations that are part of the collaboration.

6.3 Expertise prior to project approval at JINR may include, as one of its elements, external expertise of the project in a collaboration.

6.4 The preparation and conduct of research as part of international collaborations at JINR is governed by the Regulation for the organization of experiments conducted by international collaborations using the capabilities of the JINR basic facilities.

## **7. Financial planning.**

7.1 Budgetary planning of expenditure on scientific themes (projects, activities) and the procedure for their financing is determined by the rules adopted at JINR.

7.2 Third-party funds may be used to finance the work under the project. The procedure for spending extra-budgetary funds for the project is carried out in accordance with the established JINR rules and the conditions stipulated by the relevant agreements/contracts.

7.3 The project work may be financed, inter alia, from the funds allocated for cooperation programmes and grants of the JINR Plenipotentiaries.

7.4 Within the allocated budget, in agreement with the Director of the Laboratory (Directors of the participating Laboratories in the case of institution-wide themes and infrastructure projects) the leader of the scientific theme or large research infrastructure project may reallocate the allocated funds between the scientific projects of the theme or sub-projects of the infrastructure project in accordance with the established rules.

7.5 Expenditure shall be accounted for by project and activities within scientific themes. The leaders of scientific themes, projects shall have the right to request from the financial services of the Institute and receive information on the availability and expenditure of funds. Project leaders shall be provided with information on the availability and expenditure of funds for the project, scientific theme leaders - on the availability and expenditure of funds for the theme, including projects and activities within the theme.

The Directors of the Laboratories oversee the progress of work on scientific themes and large research infrastructure projects. The DB&EEP supervises budget planning and execution of the budget.

General supervision is exercised by the JINR Vice-Director in charge of this area.

## **8. Personnel planning.**

8.1 Unstaffed projects and themes shall not be approved.

8.2 The proportion of working time (FTE) associated with a given project shall be determined for each project participant. This value can be adjusted according to actual participation in the project, but no more than once a year. The cumulative share of working time for an employee involved in more than one project must not exceed 1.0.

8.3 When preparing projects, the staffing (proportion of participants' working time) should be agreed with the administrative heads of the respective departments.