

PART IX

Supervision and Audit Work of NSFC

In 2009, following the principles of Deng Xiaoping's theory and the important thoughts of Three Represents, NSFC made great efforts in carrying forward a series of measures of the State Council on anticorruption, implementing the Scientific Outlook on Development, and, focusing on its core work, building up a clean administration, conducting education focusing on professional ethics and improving its regulation system on standard behavior. It promoted the research integrity and dealt with misconducts, and strengthened monitoring of the whole evaluation process. It strengthened inspections on the fund expenditure and conducted sampling audit, and by relying on the home institutions, promoted the normalization, and scientific and clean management of NSFC, thus playing important roles in protecting the fairness and the honor of the National Science Fund.

Enhancing clean management of NSFC

NSFC studied and implemented carefully the general requirement of the third and fourth plenary sessions of CPC Seventeenth Congress on building a clean government and fighting against corruption and a series of important speeches of Party General Secretary Hu Jintao on the construction of clean government. According to the requirement on improving the system of fighting against corruption, NSFC organized special sessions of all staff to study the documents of CPC Central Committee. It implemented carefully the "Suggestions on building a clean government in 2009" of the CPC Central Committee, formulated specific work plan and worked hard for the implementation. It carried out the spirit of the CPC Central Committee on reducing administrative cost, took a number of measures to reduce management spending.

NSFC organized education activities focusing on strengthening professional ethics and clean management. It took the formulation of "professional ethics and standard of behavior" as a chance for NSFC's staff to learn the standard of behavior, and invited several times leaders of CPC Central Committee on Discipline Inspection to give lectures at NSFC, and learned the spirit of the fourth plenary sessions of the Central Committee on Discipline Inspection of CPC Seventeenth Congress on fighting against corruption and a number of measures taken by the government. It also invited CAS Member Zhang Ze to give a lecture at NSFC who used his personal research and management experience to describes the meaning and requirement of professional ethics, and the quality and ability a manager of NSFC should have. Through these study sessions, NSFC's staff improved their professional ethics, enhanced the consciousness of clean management, and upgraded their ability for preventing professional risks. These actions are very important in normalizing the management of the National Science Fund.

Promoting steadily the construction of professional ethics

In 2009, NSF made some explorations in normalizing the behavior of evaluation of the panel experts. It took three measures to strengthen the supervision, namely, panel experts making commitment before the panel meeting, sending supervision groups to attend the panel meetings and making surveys on the fairness of panel members. The pre-meeting commitment practice has been experimented for several years, which has played an effective role in reminding, alerting and educating panel experts. NSFC sent out working groups to panel meetings for general program evaluation organized by all 7 scientific departments. During the evaluation



meetings, the working groups exchanged views and had discussions with panel experts on maintaining the fairness of NSFC and other important issues. In 2009, NSFC sent out 952 questionnaires at the panel meetings, and 901 were collected, which is about 94.65%. The survey on the fairness has played an important role in promoting the supervision work of panel meetings.

In 2009, the Bureau of Discipline Inspection, Supervision and Audit received 27 complains, and the Supervi-

sion Committee received 150 letters reporting misconducts, and 11 complains during the disputing period of the National Science Fund for Distinguished Yong Scholars, which are dealt according to the procedures and regulations.

Strengthening supervision on the expenditure of project funds

According to the written instruction of NSFC leaders, sampling audit in Shanghai has been made on projects of General Program, Key Program, Major Program and National Science Fund for Distinguished Young Scholars. This sampling audit includes 22 institutions and 205 projects, involving a total amount of funds of nearly 330

million yuan. The result shows that the fund use was good in general, the internal control by these institutions was rigorous and formalized, and the management of the funds was in agreement with the regulations of NSFC. The expenditures of project funds were within the scope of the regulations. However, there still existed some problems to be noted and corrected. Some expenditure exceeded the scope of regulation, and labor payment and management fees exceeded limits. Some units had inaccurate information in settlement, and the scope of expenditure did not meet with

requirement. Through exchanging views with the institutions audited, corrections have been made and the awareness of supervision has been enhanced.

The sampling audit helped the implementation of the Regulations of the National Natural Science Fund at all institutions concerned, and strengthened the management and use of the project funds, which was welcomed by Chinese scientific community, and will play an important role in warning and education of researchers.