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**NATIONAL STANDARD OF THE
PEOPLE'S REPUBLIC OF CHINA**

GB/T 40147-2021

General rules for science and technology evaluation

科技评估通则

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Foreword

This document is in accordance with the provisions of GB/T 1.1-2020 "Guidelines for Standardization Work Part

1. Structure and Drafting Rules of Standardization Documents" Drafting. Please note that some of the contents of this document may involve patents. The issuing agency of this document is not responsible for identifying patents. This document was proposed and managed by the National Standardization Technical Committee of Science and Technology Evaluation (SAC/TC580). This document was drafted by: Science and Technology Evaluation Center of the Ministry of Science and Technology, China National Institute of Standardization, and National Science and Technology Infrastructure Platform Center. The main drafters of this document. Xu Yaoling, Qu Mingjian, Zan Tingting, Fu Qiang, Yan Wanti, He Yuntao, Gao Jian, Li Jianjun, Lin Li, Han Bing, Xu Donghui. General Principles of Technology Evaluation

1 Scope

China's national general rules for the evaluation of science and technology. It specifies the terms and definitions and the basic criteria for such evaluation. The subject is how research proposals, projects, institutions and researchers are assessed - a matter that has become a central policy question in China, because the country now spends more on research than any other except the United States and the returns depend on how that money is directed. The rules exist against a specific background: an evaluation culture built on counting publications and citations produced exactly what such a system rewards, including a substantial industry in fabricated and purchased papers. The reform has been toward evaluating contribution and quality rather than volume, which is far harder to do consistently. A general rules standard is an attempt to make that judgement systematic rather than leaving each institution to devise its own criteria and defend them.

This document specifies the basic criteria and procedures to be followed in scientific and technological evaluation activities, as well as the elements and requirements of evaluation activities. This document is applicable to all types of scientific and technological evaluation activities, and is applicable to relevant institutions that commission, organize, implement, apply and manage scientific and technological evaluation activities, Organization and people.

2 Normative references

The contents of the following documents constitute the indispensable clauses of this document through normative references in the text. Among them, dated quotations Only the version corresponding to that date is applicable to this document; for undated reference documents, the latest version (including all amendments) is applicable to This document.

GB/T 40148-2021 Basic terminology of science and technology evaluation

3 Terms and definitions

The terms and definitions defined in GB/T 40148-2021 apply to this document.

3.1 Science and technology evaluation Follow certain guidelines, use standardized procedures and scientific methods, and carry out professionalization of scientific and technological activities and related behaviors and elements Evaluation and consulting activities. Note

1. In a broad sense, scientific and technological evaluation includes various evaluation, review and review activities related to scientific and technological activities carried out by evaluation agencies or expert groups. Narrow science and technology review Evaluation specifically refers to various evaluation activities related to scientific and technological activities carried out by evaluation agencies. Note

2. Science and technology evaluation provides services for the government and all parties in the society to optimize science and technology management and decision-making, rationally allocate resources, strengthen guidance, incentives, supervision and accountability, and improve Provide reference and basis for the implementation effect of high-tech activities. [Source: GB/T 40148-2021, 3.2]

3.2 Consignor Organizations or individuals that put forward the needs and objectives of scientific and technological evaluation, entrust evaluation tasks, and provide relevant funds and condition guarantees. [Source: GB/T 40148-2021, 5.1]

3.3 Evaluator The evaluation agency or evaluation expert group that undertakes scientific and technological evaluation tasks, forms evaluation results, issues evaluation reports, and assumes corresponding responsibilities. [Source: GB/T 40148-2021, 5.2]

3.4 Evaluation expert team The client hires and organizes an expert group that undertakes

the evaluation tasks, forms the evaluation results, issues evaluation reports, and assumes corresponding responsibilities. [Source: GB/T 40148-2021,5.3]

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