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PEOPLE'S REPUBLIC OF CHINA**

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**Specification for the competency assessment of science and
technology evaluation organizations**

科技评估机构能力评价规范

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Foreword

This document complies with the provisions of GB/T 1.1-2020 "Standardization Work Guidelines Part

1. Structure and Drafting Rules of Standardization Documents". Drafting. Please note that some content in this document may involve patents. The issuing organization of this document assumes no responsibility for identifying patents. This document was proposed by the Ministry of Science and Technology of the People's Republic of China. This document is under the jurisdiction of the National Technical Committee on Standardization of Science and Technology Evaluation (SAC/TC580). This document was drafted by: the Science and Technology Evaluation Center of the Ministry of Science and Technology, the China Association for Science and Technology Evaluation and Achievement Management, China Jiliang University, and Beijing Medical University. Pharmaceutical and Health Science and Technology Promotion Center, Zhuhai Keer Technology Service Co., Ltd., Chinese Academy of Social Sciences Evaluation Institute, National Health Commission of China Biotechnology Development Research Center, Shanghai Science and Technology Consulting Co., Ltd., Sichuan (Chengdu) Academician Consulting Service Center (Chengdu Science and Technology Assessment Center) (Heart), China Southern Power Grid Science Research Institute Co., Ltd., Beijing August Melon Technology Co., Ltd., and Zhongke Hechuang (Beijing) Science and Technology Achievement Evaluation Center Heart, Guangzhou Productivity Promotion Center Co., Ltd., Guangdong Yousai Technology Co., Ltd., China-Intelligence Science and Technology Evaluation and Research Center, Shanghai Eastern Technology Technology Transfer Company, Jiaxing Zhongke Technology Development Service Co., Ltd., Zhejiang Shuren University, Xiangnan University, and World Vision (Beijing) Technology Achievement Evaluation Co., Ltd., China Computer Industry Association, Beijing Dejun Technology Service Co., Ltd., Xiangnan University-Chenzhou Industrial Technology Research Institute Academy, State Information Center, China Ordnance Industry Standardization Research Institute, Zhejiang Hengyang Umbrella

Industry Co., Ltd., China Society for Technology Economics, Beijing Daoxiang Yuan Management Consulting Co., Ltd., Hangzhou Dianzi University. The main drafters of this document are. Qu Mingjian, Sun Xinyu, Yang Yun, Ding Jinjian, Yu Yanna, He Yuanzhi, Zhu Xinghua, Ma Yanfen, Zhang Lei, and Wu Zhiyin. Jing Linbo, Yin Jianlong, Xie Wei, Li Changqing, Yan Changchun, Liao Xinzhen, Tian Dan, Wu Bin, Liang Muyuan, Li Minrong, Zou Shujun, Tu Liqin, Yan Wanti Song Zhiguo, Yan Jianhui, Liu Yao, Wang Jinhua, Liu Qian, Zhang Yan, Zan Tingting, Zhao Xu, Shen Jinhua, Wen Yan, Yuan Yi, Wang Junjie, Zhang Ying, Wu Jieqian Chen Jianhui, Han Shuyang, Xiao Liang, Dang Xiaoyu, Wang Zhihao, Min Jun, Shen Xin. Standards for evaluating the capabilities of science and technology assessment agencies

1.Scope This document specifies the content and classification of capabilities for science and technology evaluation agencies, establishes the procedures for capability evaluation, and describes the capabilities evaluation process. The methodology specifies the application and management of the evaluation results. This document applies to the establishment, evaluation, and management of science and technology evaluation institutions.

4.Content of the Capacity Evaluation of Science and Technology Assessment Institutions

4.1 Business Capabilities Business capability evaluation includes, but is not limited to, the following.

---Number of tasks. The total number of various science and technology assessment and research tasks undertaken by the institution in the past three years, and the proportion of major tasks;

---Business Revenue. The institution's average annual revenue from science and technology assessments and research tasks over the past three years;

---Assessment personnel. The size and structure of the organization's full-time personnel engaged in science and technology assessment, including but not limited to the number of full-time science and technology assessment personnel. The proportion of high-level, senior, and expert-level science and technology assessment personnel, and the matching degree of personnel professional backgrounds;

---Outcome Quality. The quality of the evaluation reports produced by the institution and user satisfaction, including but not limited to whether the evaluation reports are standardized and accurate. It is reliable, the results are applicable, it is clear and easy to understand, and the procedures are compliant.

Note. For the competency evaluation of senior and expert-level science and technology assessment personnel, please refer to GB/T 44726-2024.

4.2 Management Capability Management capability evaluation includes, but is not limited to, the following.

---Organizational Structure. Does the organization's organizational structure meet the requirements of the assessment task? Are the personnel, financial, and operational management systems complete and reasonable? Validity;

---Quality Control. Does the organization have a quality control department or position? Is the quality management system (such as GB/T 19001/ISO 9001 certified)? The establishment and operation status of the certificate, and the evaluation of the quality control procedures and records throughout the entire task process;

---Expert Management. The scale, quality, and management level of the institution's own or usable expert database, including but not limited to the construction and operation of the expert database. Status of operation, areas of expertise and professional directions, and implementation of expert management systems;

5 Capacity rating of science and technology assessment agencies

5.1 Basic Requirements for Science and Technology Evaluation Institutions Technology evaluation agencies should possess basic qualifications, facilities, and operational management, including.

---Having legal person status and obtaining legal business qualifications;

---Our main business includes technology assessment services;

---Possessing venues and facilities that match the business needs;

---A basic organizational operation and management mechanism has been established;

---No record of violations or irregularities, and not included in any negative list that may affect the capabilities and reputation of science and technology evaluation institutions.

5.2 Capability Levels of Science and Technology Evaluation Institutions Technology evaluation agencies are comprehensively evaluated based on their business capabilities, management capabilities, and industry influence. The agencies are categorized into three levels. A, B, and C. The grades are ranked as follows: A, B, and C, decreasing in that order.

6 Evaluation procedures and methods for the assessment agency's capabilities

6.1 Issuance of Notice The competency assessment agency issues a notice on the competency assessment of assessment agencies, which clarifies the competency level requirements, assessment indicators, application materials, assessment procedures, etc. The evaluation period generally does not exceed 3 months. Capability assessment agencies should, in accordance with the capability assessment content of Chapter 4, and in conjunction with the agency's business areas and characteristics, formulate targeted assessment plans. The evaluation index system.

6.2 Submitting an application The assessment agency, having met the basic requirements (see 5.1), submits an application to the competency assessment agency. Application materials should include, but are not limited to, those provided below. Application form with basic information of the applicant organization, legal person certificate assessment agency's competency level certificate, and competency evaluation supporting materials. Competency assessment documentation may include, but is not limited to, organizational management documents, quality management system certification materials, personnel lists, and employment certificates. Books, personnel competency level certificates, project list and contract materials, evaluation reports, award certificates, user satisfaction surveys, and a list of experts in the pool. Materials for information technology infrastructure development, etc.

6.3 Qualification Review The competency assessment agency conducts a qualification review of the materials submitted by the science and technology assessment agency, focusing on whether the assessment agency meets the basic requirements and the quality of the materials. The assessment agency will supplement and improve the materials based on the eligibility review results, including checking whether the materials are complete and standardized.

6.4 Organizational Evaluation The capacity assessment agency should select authoritative experts in the fields of science and technology assessment and management to form an evaluation expert group, which should consist of no fewer than 7 members. The expert panel, taking into account various capability requirements and the supporting documentation submitted by the evaluation agency, scored each indicator and formulated an evaluation opinion. The evaluation indicators... See Appendix A for a scoring example. The expert panel may conduct on-site inspections and question-and-answer sessions when necessary. The competency assessment organization should be responsible for taking meeting minutes, compiling expert scores and evaluation opinions, and calculating the average score based on the scores of each expert. The average score is used as the evaluation score for the assessment agency's capabilities.

6.5 Determining Ability Levels The competency assessment agency should determine the minimum assessment score requirements for three levels (A, B, and C) based on industry development and assessment task needs, with Level A being the lowest. The evaluation score of a Class B science and technology evaluation agency should be no less than 80 points, and the evaluation score of a Class B science and technology evaluation agency should be no less than 60 points. Based on the evaluation scores and minimum score requirements, the competency assessment agency determines the assessment agency's competency level and issues corresponding level certificates. The content of a Level 1 certificate should include, but is not limited to, the certificate number, the name of the institution, the institution's unified social credit code, the corresponding competency level, and the competency assessment. The certificate should include the name and seal of the pricing authority, the date of issuance, and the validity period.