

上海纽约大学教育发展基金会制度

NYU Shanghai Education Development Foundation POLICY

名称: 项目管理制度

Title: Program Management Policy

生效日期: 2020年10月9日

Effective Date: October 9, 2020

取代: 不适用

Supersedes: Not Applicable

发布授权人: 理事长

Issuing Authority: Chairman

负责人: 秘书处

Responsible Officer: Secretary

相关制度: 捐赠接收、管理、使用流程管理办法

Related Policies: Measures for Receiving, Managing, and Use of Donations

第一章 总则

Chapter 1 General Provisions

第一条 为规范上海纽约大学教育发展基金会（以下简称“基金会”）项目的设立与运作，合理设计项目，优化实施流程，降低运行成本，提高项目实施效果和财产使用效益，根据相关法律规定和基金会章程，结合基金会实际情况，制定项目管理制度（下称“本制度”）。

Article 1. In order to regulate the establishment and operation of the NYU Shanghai Education Development Foundation (hereinafter referred to as the "Foundation") program, rationally design the program, optimize the implementation process, reduce operating costs, improve program implementation effects and property use efficiency, the Foundation therefore formulates a Program Management Policy (hereinafter referred to as "the

Policy") in accordance with relevant laws, regulations and the Charter of the Foundation, combined with the actual situation of the Foundation.

第二章 项目立项

Chapter 2 Establishment of the Programs

第二条 本制度中项目主要指基金会出资资助或举办的相关活动，包括但不限于：奖助学金；教职员工资助；学生课外活动和社会参与；会议及学术活动；项目及学科建设；校园建设与完善；以及其他符合基金会宗旨和业务范围的项目。

Article 2. The programs referred to in this Policy mainly include the events that the Foundation supports or hosts, including but not limit to: Financial Aid and Scholarships, Faculty and Staff Support, Student Involvement and Activities, Conference and Academic Activities, Program and Academic Operations, Campus Construction and Improvement, and other programs in line with the purpose and business scope of the Foundation.

第三条 项目立项应当充分考虑项目的公益性、影响力、创新性、可持续性、社会效益等。

- (一) 项目必须符合《慈善法》和基金会章程规定的宗旨和业务范围；
- (二) 项目应力争具备一定的可持续性或具备可持续发展潜力，努力保障持续性的资金投入和受助方的持续性发展；
- (三) 项目社会效益显著，受益人群广、覆盖面大。

Article 3. The establishment of a program shall fully consider the public welfare, influence, innovation, sustainability, and social benefits of the program.

1. The program shall comply with the purpose and business scope stipulated by the Charter of the Foundation and *Charity Law*;
2. The program shall strive to have a certain degree of sustainability or sustainable development potential, and strive to ensure continuous gift funding and the sustainable development of the beneficiary;
3. The program shall have significant social benefits, with a wide beneficiary population and large coverage.

第四条 基金会和受助方代表应事先就项目方案及预算进行调研，并就项目的合理性予以论证后方可立项，经基金会理事会或秘书长批准，由受助方及基金会签订《上海纽约大学教育发展基金会项目资助立项表》(以下简称“立项表”)。

Article 4. The Foundation and the representative of the beneficiary shall conduct research about the program plan and budget, and the program can be established only after the rationality of the program is demonstrated. After approval of the Foundation Board or Foundation Secretary-General, the Foundation and the beneficiary shall sign the *NYU Shanghai Education Development Foundation Program Funding Request Form*.

第五条 基金会向受助方的资助转账需签订《项目资助协议》，对资助金额及资助方式等进行规定。

Article 5. Before the Foundation wires the gift, the Foundation and the beneficiary shall sign the Program Funding Agreement to regulate the funding amount and funding method.

第六条 《项目资助协议》的批准和签署，应参照如下规定：单笔付款金额为人民币 50 万元（或等额外币）以下的支付必须获得基金会秘书长或法定代表人的批准；单笔付款金额为人民币 50 万元或以上（或等额外币）的支付必须通过基金会理事会的批准。

基金会应根据《项目资助协议》执行转账。

Article 6. The approval and signing of the Program Funding Agreement shall refer to the following: The approval and signing of the “Funding Agreement” shall refer to the provisions as following: if the amount to be disbursed in one payment is less than RMB 500,000 (or equivalent) on one program, the payment must be approved by the Foundation Secretary-General or Vice Chairman. If the total amount of the disbursement in one payment exceeds RMB 500,000 (or equivalent), it must obtain approval from the Foundation’s Board.

The Foundation will transfer the funding according to the Program Funding Agreement.

第三章 项目实施

Chapter 3 The Implementation of the Programs

第七条 项目实施前要编写项目实施方案及预算，并作为项目立项表附件由基金会归档保存。

方案或预算不合理的项目将由受助方相关部门调整后，报基金会再度进行审批。

Article 7. Before the implementation of the program, there should be a program plan and budget, which should be attached to the Program Funding Request form and filed and saved in the Foundation.

Program proposals and/or budgets which are not approved shall be returned to the beneficiary organization for adjustment and re-submission for the Foundation's approval.

第八条 如受助方因故需要变更项目实施方案，应提前向基金会提交报告，获准后方可按变更后的方案执行。

Article 8. If the beneficiary needs to change the program implementation plan for any reason, it shall submit a report to the Foundation in advance, and the changed plan can be implemented after approval.

第九条 项目运作期间受助方须指定项目管理人员，带领项目团队对项目进行全程跟踪，定期向基金会汇报项目进展，以便基金会与有关捐赠方及时沟通项目运作情况及捐赠资金使用情况。

Article 9. During the operation of the program, the recipient must appoint a program management personnel, lead the program team to track the program throughout the process, and regularly report the progress of the program to the Foundation so that the Foundation can communicate with the relevant donors on the operation of the program and the use of donated funds in a timely manner.

第四章 项目受助对象的选择

Chapter 4 The Selection of the Program Beneficiary

第十条 限定性捐赠项目，其限定性捐赠协议中已明确具体项目资助方向的，应严格按照协议约定执行；非限定性捐赠项目，应根据实际情况制定项目方案。

Article 10. For those restricted gift supported programs, where the specific funding direction has been specified in the restricted gift agreement, they shall be implemented in strict accordance with the gift agreement; for those unrestricted programs, a program plan shall be made in accordance with the actual situations.

第十一条 捐赠人可在捐赠协议中指定捐赠款的资助方向，但不得指定捐赠人的利害关系人作为受益人，或对受益人的性别、国籍、种族等进行要求。

Article 11. Donors may specify the direction of funding for donations in the gift agreement, but they shall not designate interested parties of the donor as beneficiaries, or impose requirements on the gender, nationality, race, etc. of the beneficiaries.

第十二条 基金会秉承公益性的原则，根据具体项目资助方向及以下流程选择不特定对象进行资助。

- (一) 本科生奖助学金资助对象选择标准参照《上海纽约大学本科生奖助学金评审实施细则》，硕士博士研究生奖学金资助标准由上海纽约大学研究生与研修项目办公室进行评定；
- (二) 教学、科研等教师及学科相关项目资助对象的选择由上海纽约大学教务长办公室根据相关规定及标准决定；
- (三) 非限定性捐赠所资助的项目通常由上海纽约大学常务副校长与基金会商议后，根据上海纽约大学发展需求决定；
- (四) 学生课外活动和社会参与相关的项目资助对象由上海纽约大学学生事务处根据项目内容进行评定；
- (五) 其他项目视情况，由上海纽约大学具体受助部门根据该部门适用该项目的标准、流程等进行评定。

Article 12. The Foundation adheres to the principle of public welfare, and selects unspecified objects to support according to specific program funding directions and the following procedures.

1. Selection criteria for undergraduate financial aid and scholarships shall refer to the *NYU Shanghai Implementation Rules for Evaluation of Undergraduate Scholarship and Financial Aid*, while selection criteria for master and PhD graduate students shall be indicated by Graduate and Advanced Education Office of NYU Shanghai;

2. The beneficiary selection of teaching, research and other faculty and subject-related programs are determined by the Office of the Provost of NYU Shanghai in accordance with relevant regulations and standards;
3. The programs funded by unrestricted funds are usually determined by NYU Shanghai Vice Chancellor after negotiation with the Foundation, and are based on NYU Shanghai's development needs;
4. Program funding related to Student Involvement and Activities will be assessed by the Student Affairs Office of NYU Shanghai based on the content of the program;
5. Other programs will be assessed by the specific recipient department of NYU Shanghai based on the standards and procedures of the department applicable to the program.

第五章 项目财务管理

Chapter 5 Program Financial Management

第十三条 立项表的签订即为受助方和基金会就立项表上及后附的项目方案和预算达成一致。

Article 13. Signing of the Program Funding Request Form by both parties ensures the Foundation and Beneficiary reaches agreement on what's on the Funding Request Form and attached program plan and budget.

第十四条 受助方和财务部于项目进程中负责收集项目支出原始凭证。经报销后由受助方保管，基金会 有权向受助方提出查看发票等原始凭证的复印件或电子档案。

Article 14. The beneficiary and the finance department are responsible for collecting the original vouchers of program expenditures during the program process. After reimbursement, it will be kept by the beneficiary, and the Foundation has the right to ask the beneficiary to view copies of original documents such as invoices or electronic files.

第十五条 财务部按照资助项目或捐赠人的要求定期向基金会提供财务数据。

Article 15. The Finance Department regularly provides financial data to the Foundation in accordance with the requirements of the funded program or donor.

第六章 项目监督与评估

Chapter 6 Program Supervision and Evaluation

第十六条 基金会及上海纽约大学合规及风险管理部门是项目的监督部门，对项目的实施进行监督。受助方或受助方相关部门在项目实施过程中如未按项目资助协议约定使用资助或者有其他违反项目资助协议的情况，基金会有权终止或撤销资助。

Article 16. The Foundation and NYU Shanghai Compliance and Risk Management Department are the supervisory departments of the program, which supervise the implementation of the program. If the beneficiary organization violates the terms in the gift agreement and/or funding request form, or does not use the funds in accordance with committed purpose, the Foundation has the right to take actions including refusal to disburse funds or withdrawal of funding.

第十七条 受助方相关部门需向基金会提交能够反映项目成果的资料，如照片、视频、活动参与者名单、研究成果等，并由基金会统一整理。

Article 17. The beneficiary organization should provide documentation on program results, examples of possible documentation include photographs, videos, list of attendees, research findings, etc. The Foundation shall compile all the documents.

第十八条 项目结算完成后，基金会将项目相关文件进行归档。项目结项主要以捐赠报告的形式，其中包括项目总结评估报告、费用报告等相关文件。

Article 18. After the settlement of the program is completed, the Foundation shall archive the relevant documents of the program. The settlement of the program is mainly in the form of donor report, which includes a summary of the program and an expense report, etc.

第七章 附则

Chapter 7 Additional Provisions

第十九条 本制度以中英文两种语言书写。如中英文版本产生歧义，以中文版为准。

Article 19. This Policy is written in Chinese and English. In the event of a conflict between the two versions, the Chinese version shall prevail.

第二十条 本制度由基金会秘书处负责解释。

Article 20. This Policy shall be interpreted by the Foundation's Office of the Secretary.

第二十一条 本制度自基金会理事会批准之日起生效并执行。

Article 21. This Policy shall come into effect upon approval by the Foundation's Board of Directors.