

Management System of Shenzhen Institute of Advanced Technology on Basic Research Institution

Chapter 1 General

Article 1 To standardize the management and support of Shenzhen Institute of Advanced Technology (hereinafter referred to as "SIAT") to Shenzhen Basic Research Institutions (hereinafter referred to as "Research Institutions"), according to the *Management Measures of Shenzhen New Basic Research Institution Construction (Trial)* and existing rule and regulations of the SIAT, the Management System is hereby formulated.

Article 2 Research institutions refer to approved Shenzhen basic research institutions of the SIAT. The SIAT signs a contract with the municipal science and technology competent department, manages related scientific research, finance, personnel, procurement, outsourcing and other matters according to the contract, and further formulates detailed rules according to this System.

Article 3 The Research Institution sets up a Management Committee or Council ("Management Committee" for short) that is responsible for formulating charter of basic research institution, deliberating and approving the research institution's candidates for director, annual work plans, annual budget and final accounts, and making decisions on major issues in the development of the research institution. The Management Committee consist of not less than 7 members. The members of the Management Committee are from the SIAT, relevant government departments, co-construction units and independent members, and the chairman of the Management Committee is nominated by the SIAT and approved by the Management Committee meeting.

Article 4 The Research Institution implements the director responsibility system under the leadership of the Management Committee, and the director is nominated by the SIAT, and appointed by the SIAT after being deliberated and approved by the Management Committee. The deputy director is nominated by the director and appointed by the SIAT. The director of the research institution is fully responsible for the work of the basic research institution. He/she fully manages the Research Institution, with the authorization by the Management Committee, according to the charter and relevant rules and regulations of the SIAT and bear the corresponding responsibilities.

Chapter 2 Finance Management

Article 5 Its financial system is implemented according to the existing system of the SIAT. If the single or one-time expenditure of the Research Institution is less than 500,000 yuan, it is implemented after internal review and approval; if the value is above 500,000 yuan (inclusive) and below 1 million yuan, it is implemented after internal review by the Research Institution according to the procedure and approval by the deputy director of the SIAT in charge; if the value is above 1 million (inclusive), it is implemented after internal review by the Research Institution according to the procedure and approval by the director of the SIAT. All expenses not included in the budget should be implemented after being approved according to the budget adjustment procedure, and all expenses and reimbursement are reviewed by the financial management department of the SIAT for compliance.

Article 6 The financial principal of the Research Institution should be appointed by the SIAT and he/she performs the comprehensive financial management and supervision duties on behalf of the SIAT to ensure the reasonable, compliant, efficient and economical use of the funds of the Research Institution. Dual-leadership system of SIAT and Research Institution for the Research Institution's financial principal is adopted, i.e., such financial principal accepts the daily management of the Research Institution and the assessment of the SIAT.

Article 7 A separate financial account book of the Research Institutions is set in the SIAT with independent accounting and statements, and self-balancing of income and expenditure, accepting and complying with the audit and supervision of relevant departments of the Shenzhen Municipal Government. The use of funds appropriated to external units by the Research Institution should conform to the measures for the use of funds by the Research Institution.

Article 8 The Research Institution implements financial budget management, and the annual financial income & expenditure and budget cash flow statement should be agreed by the Director Office Meeting of the Research Institution before being submitted to the Director Office Meeting of the SIAT for agreement and then submitted to the Management Committee for review and approval. The financial management department of the SIAT is responsible for the implementation and supervision of the budget. The SIAT provides fixed financial support of not less than 30 million yuan to each Research Institution every year.

Article 9 The Research Institution pays the site use fee and apportions water, electricity and other public expenses to the SIAT according to its internal accounting and charging standards of the SIAT.

Chapter 3 Human Resources Management

Article 10 The Human Resources management system (salary, welfare, bonus, transfer and transformation policies) is implemented according to the existing system of the SIAT. The salary management system adopts the secret salary system, which can fluctuate by $\pm 10\%$ in the existing salary system of the SIAT.

Article 11 The recruitment of senior scientific research personnels and management cadres above the office head of each research institution is uniformly managed by the Department of Human Resources of the SIAT, including the interview, psychological assessment, issuance of employment notices and signing of labor contract. Other employees are recruited by each research institution according to the post needs and reported to the Department of Human Resources of the SIAT to sign labor contracts.

Article 12 The SIAT will evaluate and appoint scientific research personnel applying for senior titles (including deputy senior) and employees applying for promotion of grade 7 (inclusive) and above according to the uniform standards. The promotion of intermediate and junior scientific research personnel is appointed by the Research Institution after evaluation according to the evaluation system of the discipline direction, and the promotion of staff below grade 7 is evaluated and appointed by the research institution.

Article 13 The SIAT assesses the principals of the Research Institution and its direct subordinate department according to the characteristics of each research institution in combination with the assessment standards of the SIAT; each research institution formulates assessment standards according to development needs to evaluate other employees.

Article 14 Each research institution should propose reasonable suggestions on the establishment of the institution and the principal of the department according to the development needs, setting of each direct subordinate department and its principal should be reported to approved by the SIAT, and setting of other institutions and their principals should be reported to the Department of Human Resources for filing.

Article 15 Each research institution should assign special personnel to conduct coupling with the Department of Human Resources of the SIAT for personnel business. The Department of Human Resources is responsible for conducting business training and guidance for the specially assigned personnel of each research institution, and participating in the annual assessment of them.

Chapter 4 Transfer and Transformation of IPR

Article 16 Scientific and technological papers produced by research institutions must be signed the names of "Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences" and the Research institution. (Shenzhen Institutes of Advanced Technology (SIAT) of the Chinese Academy of Sciences (CAS), Shenzhen Institute of Synthetic Biology/ Shenzhen-Hong Kong Institute of Brain Science/ Shenzhen Institute of Advanced Electronic Materials) 。

Article 17 If a research institution uses scientific and technological achievements for valuation-based investment or patent transfer or transformation, the relevant regulations of the SIAT should be followed.

Chapter 5 Management Support

Article 18 The corresponding departments of the SIAT set up special personnel and special position to make coupling with the finance, personnel and procurement departments of each research institution respectively to ensure the efficient operation of the research institute under the guidance of the rules and regulations of the SIAT.

Article 19 The scientific research procurement work of each research institution should be carried out with reference to the existing system of the SIAT. The Office of Procurement of the SIAT organizes the implementation of the procurement work and optimizes and modifies the procurement approval process of the Research Institution: If the procurement unit price or the total batch procurement amount is below RMB 100,000 yuan (inclusive), purchase is carried out after approval by the principle investigator and the head of the center; if the value is above RMB 100,000 yuan and below RMB 200,000 (inclusive), purchase is carried out after approval by the principle investigator, the head of the center and the director of the Research Institution; if the value is above RMB 200,000 yuan and below RMB 300,000 yuan (inclusive), purchase is carried out after approval by the head of the Office of Procurement and the Division of Science & Technology Development Director; if the value is above RMB 300,000 yuan and below RMB 500,000 (inclusive), the purchase is carried out after approval by the deputy director of the SIAT in charge; if the value is above RMB 500,000 yuan, the purchase is carried out after approval by the director of the SIAT.

If the procurement projects managed (or supervised) by Department of Public Service Platform for Science and Technology need to be approved by it, the procurement of equipment led by the Procurement Office and the centralized procurement of various consumables can be initiated by the Procurement Office on behalf of the user department for borrowing, reimbursement and payment process.

Imported equipment continue to enjoy the existing qualification of the SIAT for duty-free import (when the office address of the new research institution changes, the Office of Procurement must be notified immediately to make a record application to the Shenzhen Customs).

Article 20 The outsourcing of scientific research business of the Research Institution (excluding co-builders and open research topic funds) should be implemented with reference to the existing outsourcing management system of the SIAT, and the scientific research business outsourcing process of the Research Institution should be optimized: if the total outsourcing amount is below RMB 10,000 yuan, it is carried out after the approval by the principle investigator and the head of center; if the value is above RMB 10,000 yuan (inclusive) and below RMB 30,000 yuan, it is carried out after the approval by the principle investigator, the head of center, and the director of the Research Institution; if the value is above RMB 30,000 yuan and below RMB 200,000 yuan, it is carried out after approval by the Department of Science & Technology Development; if the value is above RMB 200,000 yuan (inclusive), it is carried out after approval by the deputy director of the SIAT in charge and the publicity of the basic outsourcing information in the SIAT without any objection; if the value is above RMB 500,000 yuan (inclusive), it is carried out according to the related regulations after approval by the director of the SIAT.

Article 21 The laboratory management of each research institution in the campus of the SIAT (including sporadically distributed site decoration works and "Safety-Norms-Cleanliness" work), the use and management of experimental equipment and experimental animals should be carried out under the management of Department of Public Service Platform for Science and Technology according to the existing system of the SIAT. Department of Public Service Platform for Science and Technology participates in guiding and supervising the work outside the campus.

Chapter 6 Bylaw

Article 22 The existing and future projects undertaken by each research institution with Shenzhen Institute of Advanced Technology of Chinese Academy of Sciences as the undertaking unit should be implemented according to the relevant regulations of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences and are not subject to the management of this system. The original *Management System of Shenzhen Institute of Advanced Technology on Basic Research Institution* (SYK ZI [2019] No. 1) shall be repealed simultaneously.