

**Management Measures of Shenzhen Institute of Advanced
Technology, Chinese Academy of Sciences for Seals and Qualification
Documents**

Chapter 1 General

Article 1 To strengthen the management of seals and qualification documents of the Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), these Measures are formulated in accordance with the Provisions of the State Council on the Management of Seals of State Administrative Organs, Enterprises and Institutions and Social Organizations (GF [1999] No. 25), the Measures for the Management of Seals of the Departments of the Chinese Academy of Sciences (KB [2015] No. 8), and in combination with the actual work.

Article 2 These Measures apply to the production, issuance, use and management of seals of the SIAT and internal departments of the SIAT; the use and management of qualification documents for the SIAT.

Chapter 2 Definition, Types and Scope of Use

Article 3 The qualification documents of the SIAT include the Certificate of Legal Person for Public Institutions, the Account Opening Permit, the Tax Registration Certificate, the Real Estate Certificate, Collective Registered Permanent Residence Page, ID card of legal representative, appointment documents of institute leaders, as well as administrative licenses such as cafeteria operation permit and catering service permit.

Article 4 The seal of the SIAT refers to the physical seal and electronic seal of various types of seals in the Institute, including:

(I) Official seal and steel seal of the SIAT;

(II) Seals of the Party Committee, Discipline Inspection Commission, and Mass Organization of the SIAT;

(III) Legal representative name seal and signature seal;

(IV) Special seals for business, including various types of contract seals, financial seals, invoice seals, etc.

(V) Seals of functional departments, research institutes, and other institutions without independent legal personality (hereinafter referred to as departmental seals);

(VI) Seals of the Committee of the SIAT.

Article 5 Scope of application of seals

(I) The official seal of the SIAT, as the representative of the legal entity status of the SIAT, is an identity symbol that identifies the behavior of the SIAT. The specific scope of use is as follows:

1. Various official documents, document materials, reports, etc. sent in the name of the SIAT to both inside and outside the Institute;

2. Various documents, certificates, employment letters, etc. issued in the name of the SIAT;

3. Important agreements, memorandums, letters of intent, etc. signed in the name of the SIAT;

4. Documents and materials related to scientific research projects, achievements, awards, patents, trademarks, etc. applied for in the name of the SIAT;

5. The relevant documents and materials required for the personnel of the unit to handle the approval procedures for going abroad (or leaving the country);

6. Other documents and materials that, according to regulations, agreements, or conventions, cannot use a business seal but require an official seal.

(II) The steel seal of the SIAT is used for photo stamping of work permits, retirement certificates, professional title qualification certificates, employment letters and other documents, and cannot be used independently.

(III) The legal representative signature seal is only used to indicate the signature of important documents signed in the name of the SIAT, such as "Director" and "Legal Representative", as well as other documents and materials approved and stamped by the legal representative. Specifically:

1. Documents, certificates, and appointment letters issued in the name of the SIAT that require the seal of the legal representative;

2. Relevant reports, contracts, agreements, power of attorney, project application documents, project assignments, approval forms, etc. that require the byline of the legal representative;

3. Letters sent in the name of the legal representative;

4. Other documents and materials authorized and approved by the legal representative.

(IV) The contract seal is used for signing contracts with external parties. Specifically:

1. Used for signing scientific research cooperation contracts, such as transfer contracts for patents or proprietary technologies (non-patented technologies), signing and closing of various horizontal contracts, contracts for allocating funds related to scientific research activities other than fixed asset purchases, contracts for material costs, testing and processing fees, publishing fees, and other expenses incurred in various scientific research projects, outsourcing contracts for open operation funds of various scientific research platforms, outsourcing contracts for basic scientific research business fees of various scientific research platforms, and outsourcing contracts for open and independent research topic funds of various scientific research platforms. [Special seal for scientific research contracts]

2. Used for the signing of contracts for the purchase of goods and services, such as equipment procurement contracts (including customization, research and development, accessories, software, digital book resources) and related technical agreements, online bidding purchase orders, equipment maintenance and repair contracts, and purchase contracts for various experimental materials, reagents, models, specimens, live animals, low value consumables, and teaching and scientific research related items; contracts for newly-built buildings, large-scale maintenance (renovation and expansion) projects (including project feasibility study report preparation, environmental impact assessment report preparation, construction survey, design, construction, supervision, testing, equipment and material procurement, fire protection, environmental testing, commissioning settlement and preparation of bill of quantities, bidding agency, surveying and mapping results to be signed during engineering construction, and termite prevention and control), zero small contracts related to engineering construction, agreements for handling relationships around the campus, contracts for structural testing and appraisal of buildings, demolition commission agreements, and other contracts within the scope of infrastructure construction; [Special seal for procurement contract]

3. Used for the signing of personnel employment and student training contracts, including employment agreements for newly recruited graduates, employment contracts, self employment agreements for discharged soldiers, student joint training agreements, guest student training agreements, etc. [Special seal for personnel contract]

(V) Departmental seal: Used within one's own authority to submit requests, reports and materials in the name of one's own department to the institution, or to notify relevant business matters at the same or lower level within the Institute Office, as well as general business matters related to external contacts. Specifically:

1. Requests, reports, etc. submitted to the Institute Office;
2. Introduction letters, proof materials, official letters, etc. for contacting and negotiating work with external units;
3. Other documents and materials that require departmental seals;

Unless authorized by the SIAT, department seals shall not be used for signing contracts, agreements, commitments, etc. with external parties, nor shall they be used for issuing proof materials or briefings outside the scope of authority.

(VI) Committee seal: Applicable to business within the scope of the Committee's authority. The specific scope of application and the approval process for use need to be clearly defined before the seal is engraved, proposed by the Committee, and submitted to the Director Office Meeting or the Institute Administrative Affairs Meeting for approval. When the seal is used, the scope of application and the approval process for use will be notified to the entire Institute.

Chapter 3 Seal Production, Issuance, Activation, Deactivation and Destruction

Article 6 The Department of General Affairs is the comprehensive management department of seals (including electronic seals) of the SIAT, responsible for the production, management, and use of the Institute level seals, as well as legal representative name seals and signature seals; coordinating the approval, activation, and abolition of seals for each unit/department, and guiding and supervising the management of seals for each unit/department.

Article 7 Approval for seal engraving of the SIAT:

(I) The Party Committee's seal, administrative seal, and steel seal shall be handled in accordance with relevant regulations of the higher authorities.

(II) Special business seal: The application shall be made by the business competent department according to work needs, clarifying the scope of use and approval process of the seal. It shall be approved by the principal leaders of the Institute and submitted to the Director Office Meeting or the Institute Administrative Affairs Meeting for approval. After approval, the Department of General Affairs shall go to the unit permitted by the public security organs to make it; the approval process for engraving seals for each department, internal committee seal, and internal office seal shall comply with this article .

(III) If a scientific research institution without legal personality, approved by a national department or provincial or municipal bureau, or jointly established with the SIAT, needs to produce a seal, the institution shall apply, attach the approval document for the establishment of the institution, or the document of the joint construction unit agreeing to produce the seal. After being reviewed by the principal leaders of the Institute, approved by the Director Office Meeting or the Institute Administrative Affairs Meeting, the Department of General Affairs shall go to the unit permitted by the public security organs to produce the seal.

Article 8 All types of seals shall be engraved at the designated seal engraving unit of the public security department with the SIAT's Certificate of Legal Person for

Public Institutions, the ID card of the legal representative, and the document approving the establishment of the department (or committee).

Article 9 The specifications, styles, and printed Chinese characters of the seal shall comply with relevant national regulations. No unit/department within the Institute is allowed to make or replace seals without authorization.

Article 10 For the newly issued seal, a notice of official use shall be issued by the Department of General Affairs, responsible for archiving the relevant materials and impressions for the use of the seal.

Article 11 The original seal of a department/committee shall cease to be used from the date of renaming or revocation. The cessation of use of the special business seals shall be decided by the competent department of the business.

Article 12 The discontinued seal shall be handed over to the Department of General Affairs within three working days from the date of discontinuation, and the seal supervision personnel shall complete the handover procedures. The Department of General Affairs shall seal or destroy the discontinued seals in accordance with relevant national regulations. When destroying seals, all destroyed seals must be kept with impressions for future reference.

Chapter 4 Seal and Qualification Document Management

Article 13 Seal and qualification document management department.

(I) The Department of General Affairs is responsible for managing the official seal and steel seal of the SIAT, special contract seal, and legal representative seal; managing the original and duplicate copies of the Certificate of Legal Person for Public Institutions, the Real Estate Certificate, the copy of the ID card of the legal representative, the appointment documents of the institute leaders, the cafeteria operation permit, the catering service permit, etc.

(II) The Department of Finance and Assets is responsible for managing the financial seal, invoice seal, and legal representative name seal (reserved seal) of the SIAT; keeping the Account Opening Permit, Tax Registration Certificate, etc.

(III) The Department of Human Resources is responsible for keeping the Collective Registered Permanent Residence Page, etc.

(IV) The Department of Party-masses Relationship is responsible for managing the relevant seals of the Party Committee, Youth League Committee, Trade Union, and Women's Work Committee of the SIAT.

(V) The Department of Supervisory Auditing is responsible for managing the relevant seals of the Discipline Inspection Commission of SIAT.

(VI) Each department is responsible for managing the seals of the respective departments, the seals of committees set up by the Secretariat Department within their respective departments, and administrative licenses related to their own business.

(VII) The seal of a non-independent legal entity affiliated with the Institute shall be kept by the leading department or the competent functional department.

Article 14 The seal shall be supervised by a designated person appointed by each management department, responsible for the custody and use of the seal. The seal supervision personnel shall be formal employees with good political and professional qualities.

Article 15 The seal supervision personnel are directly responsible for the custody and standardized use of the seals they are responsible for. The head of the department where the seal supervision personnel are located is responsible for the leadership of custody and standardized use. The signatories of each stage of seal approval are responsible for the management of corresponding matters.

Article 16 The seal supervision personnel shall register and review the use of seals, including the department using the seal, the date of use, the name and reason of the seal material used, the person in charge and contact phone number, etc. The responsibility shall be assigned to each person, and a seal use ledger shall be formed and filed for record.

Article 17 The seal of the SIAT must be stored safely and reliably, and shall be stored in designated cabinets. Without written approval from the head of the competent department in charge of the seal, it is not allowed to take it away from the Office without authorization. If it is necessary to use the seal outside the Office due to special circumstances, the consent of the head of the seal storage department must be obtained. The seal supervision personnel must supervise the use of the seal on site and send the seal back to the Institute for storage before the end of the day.

Article 18 After applying for relevant qualifications, each department needs to provide application information and copies of qualification documents to the Department of General Affairs for filing and registration. The original qualification documents are managed by the qualification application department or the functional department responsible for the qualification business. The review, modification, extension, cancellation and other related work of the qualification shall be the responsibility of the department applying for or maintaining the qualification.

Article 19 The original qualification documents cannot be lent out at will. If lending is required, a Qualification Document Borrowing Application must be filled out, with detailed reasons for borrowing and return dates indicated. The borrowing can only be carried out after being signed and approved by the department leader and the qualification competent department leader. The Qualification Document Borrowing Application must be kept on file. When using a copy of the qualification document, the document must be prominently stamped with the "For Processing Purposes Only" seal, clearly indicating the scope of use.

Article 20 The seal supervision personnel shall strictly implement the rules and regulations on seal use, strictly control the scope of seal use, carefully review the approval procedures for seal use, and ensure the accuracy of seal use. If one of the following situations occurs, the seal shall not be used:

(I) Documents and materials related to personal property, economic, legal disputes, etc.

(II) Documents and materials with incomplete seal review process without approval from unit or department leaders;

(III) Documents and materials unrelated to the work and business of the unit;

(IV) Blank introduction letters, blank documents, blank certificates, or incomplete contracts, authorization letters, and other documents and materials;

(V) Inconsistencies between seal documents and approval documents;

(VI) The applicant's refusal to review the content of the seal document by the seal supervision personnel;

(VII) There is a violation of these Measures or it still needs to be verified or the content is untrue.

Article 21 When affixing a seal, apply force evenly to ensure that the seal is upright, clear, and easy to identify. The seal text is strictly prohibited from being reversed or skewed.

Article 22 The seal use time is scheduled on (Monday - Friday: 9:00-11:30 AM; 13:30-17:00 PM). Stamping is not accepted outside of the seal use time. If it is necessary to affix a seal outside of working days, a written explanation of the seal requirement signed and confirmed by the department head must be submitted to the Department of General Affairs 2 days in advance.

Article 23 If it is necessary to remake the seal due to damage, wear and tear, etc., the seal management department shall provide a written explanation and handle in accordance with Article 7 of these Measures .

Article 24 If the seal is lost, the seal management department shall immediately notify the Department of General Affairs and issue an invalidation statement according to regulations, and re-engrave the seal according to the procedure.

Chapter 5 Review Process for Use of Seals and Qualification Documents

Article 25 Review process for using the official seal (steel seal) and legal representative signature seal of the SIAT:

(I) Official documents sent in the name of the SIAT to both inside and outside the Institute must be approved through the ARP system before they can be stamped; notes and other transaction documents need to be reviewed and approved by department leaders before being stamped.

(II) In various documents and materials issued in the name of the SIAT, such as certificates, appointment letters, and job grades, the appointment letters and job grades are reviewed and stamped by the Department of Human Resources; the graduation certificate and other documents will be reviewed and stamped by the Department of Education; all types of training and award certificates shall be reviewed and stamped by the responsible department/institute level leaders.

(III) Important agreements, memorandums, letters of intent, and other documents and materials signed in the name of the SIAT need to be approved on the AOP system of the SIAT. After approval is completed, they shall be stamped with the approval process table generated by the system; or the seal can only be used after being signed and approved by the principal leaders of the Institute.

(IV) Documents and materials related to scientific research projects, achievements, and awards submitted in the name of the SIAT must be reviewed and approved by the department head and the project management responsibility division or office before being used; the vertical projects are managed by the Department of Science & Technology Development (the vertical projects led by enterprises are managed by the Department of Research and Knowledge Transfer Services), the horizontal projects are managed by the Department of Industry Cooperation and Innovation Development, and the talent projects are managed by the Department of Human Resources; the application for patents, trademarks, and other related documents and materials must be reviewed and

approved by the department head and the Department of Research and Knowledge Transfer Services before being used.

(V) The relevant documents and materials required for employees to handle the approval procedures for going abroad (or leaving the country), such as visas and work permits for foreign talents coming to China, shall be reviewed and stamped by the Department of Human Resources. Materials for going abroad (or leaving the country) on business shall be reviewed and stamped by the Department of Science & Technology Development.

(VI) According to regulations, agreements or conventions, other documents and materials that cannot use a business seal and require an official seal shall have their approval process determined by the Department of General Affairs. The seal can be used after approval by relevant business departments or institute leaders.

(VII) The legal representative signature seal is only used to indicate the signature of important documents signed in the name of the SIAT, such as "Director" and "Legal Representative". The document can only be used after being approved through normal procedures; in principle, other documents shall not use the legal representative signature seal, and the required signature documents shall be sent to the legal representative for signature. If the legal representative needs to stamp the name seal instead of signing during the business trip, the secretary shall be entrusted to obtain the consent of the legal representative before the seal can be used.

Article 26 Review process for use of seals of Discipline Inspection Committee and Mass Organization:

(I) To affix the seal of the Party Committee of SIAT, the documents and materials need to be submitted to the applicant's Party branch for review. After obtaining the approval of the Party branch secretary, they shall be submitted to the Department of Party-masses Relationship for review to determine whether approval is required from the leadership of the Party and Mass Work Office or the Secretary of the Party Committee; after approval is completed as required, stamp the seal at the Department of Party-masses Relationship;

(II) To affix the seal of the Discipline Inspection Commission of SIAT, the head of the applicant's department must review and approve the documents and materials, and then submit them to the Department of Supervisory Auditing for review. With the approval of the leaders of the Department of Supervisory Auditing or the Secretary of Discipline Inspection Commission, the documents and materials can be stamped at the Department of Supervisory Auditing;

(III) To affix the seal of the Youth League Committee of SIAT, the documents and materials need to be submitted to the Department of Party-masses Relationship for review. After obtaining the approval of the leaders of the Department of Party-masses Relationship or the Secretary of the Youth League Committee, the seal shall be stamped at the Department of Party-masses Relationship;

(IV) To affix the relevant seal of the Trade Union of SIAT, the documents and materials need to be submitted to the Department of Party-masses Relationship. Depending on the nature of the materials, after obtaining the approval of the leaders of the Department of Party-masses Relationship, the (Deputy) director of the Trade Union, the (Deputy) head of the Trade Union Review Committee, or the (Deputy) head of the Women's Work Committee, the seal shall be stamped at the Department of Party-masses Relationship.

Article 27 Review process for use of financial seals:

(I) To apply for an invoice to be stamped with a financial seal, the applicant must provide the Invoice Issuance Approval Form. After being reviewed and approved by the head of the applying department and the leader of the Department of Finance and Assets, the it shall be stamped in the Financial Office.

(II) For the seal for daily affairs work (such as checks, remittances, cash receipts and payments, confirmation letters, financial statements, remittance certificates, and handling bank tax related matters), the application shall be made by the Officer in Charge, signed by the Chief Accountant, and submitted to the leader of the Department of Finance and Assets for approval. After approval, the seal shall be stamped in the Financial Office.

(III) The relevant materials for project application and acceptance audit need to be stamped with a financial seal. After being signed by the project accountant of the Department of Finance and Assets, they shall be submitted to the leaders of the Department of Finance and Assets for review and approval before being stamped in the Financial Office.

Article 28 Review process for use of contract seals:

(I) Procurement contracts: Procurement contracts with an amount greater than 1,000 yuan need to be approved on the AOP system of the SIAT, or through offline signature forms such as approval documents. After approval is completed, they shall be stamped with the approval process table or offline signature form generated by the system; procurement contracts with an amount less than 1,000 yuan must be signed and approved by the Department Head before they can be stamped.

(II) Service contracts: Outsourcing contracts for maintenance and repair, as well as infrastructure contracts for construction and supervision, need to be approved on the AOP system of the SIAT, or through offline approval forms such as approval documents. After approval is completed, they shall be stamped with the approval process table or offline signature form generated by the system. The monthly service contracts need to be reviewed and signed by the department leader, and approved by the leader of the Department of Finance and Assets before being stamped.

(III) Scientific research cooperation contracts: Scientific research cooperation contracts such as joint application project agreements with external units, enterprise led project application agreements, various research topic outsourcing contracts, horizontal project contracts, joint laboratory agreements, patent transfer contracts, etc., need to be approved on the AOP system of the SIAT. After approval is completed, they shall be stamped with the approval process table generated by the system. In emergencies, the project management responsibility department or office can review the compliance of contracts and the rationality of intellectual property allocation offline, and the seal can be used after being signed by the business leader.

(IV) Personnel contracts: Employment agreements, employment contracts, and self employment agreements for newly recruited graduates shall be approved and stamped by the head of the Department of Human Resources, or authorized by the Department of Human Resources to be used by a designated person through the stamping authorization process; the tripartite training agreements signed with students and their respective universities, such as student joint training agreements and guest student training agreements, shall be approved by the head of the training department and signed by the relevant business leaders of the Department of Education before being stamped.

Article 29 Review process for use of seals of departments and committees:

(I) The review process for the use of seals by functional departments, research institutes, and other institutions without independent legal personality shall be formulated by their seal storage departments based on the actual situation of their respective departments and institutions. After the approval of the department and institutional leaders, the review process for the use of the seal shall be submitted to the Department of General Affairs for filing.

(II) The review process for the use of seals by each committee shall be formulated by the Secretariat Department of the committee based on the actual situation, and after being deliberated and approved by the committee, it shall be reported to the Department of General Affairs for filing.

Article 30 Authorization for use of seals. Each functional department is allowed to authorize specific personnel of their department to directly use relevant seals when handling designated business within their department's responsibilities. Relevant departments and offices shall submit the Seal Authorization Approval Form to specify the name, Employee ID, ID card number and other identity information of the authorized person, the type of authorized business, business scope and authorization time limit, and the type of seal used. After being approved by the head of the division or office and the head of the seal storage department, the form shall be submitted to the department seal administrator for archiving and backup. Special business seal authorization needs to be approved by the leaders in charge of business of the Institute. After completing the authorization, the authorized person can directly use the relevant seal when handling the authorization business, but still needs to register the use of the seal.

Chapter 6 Bylaw

Article 31 Any department or individual must strictly follow the procedures stipulated in these Measures to use seals, and shall not illegally carve or use seals. For those who violate regulations, corresponding responsibilities shall be pursued based on the severity of the circumstances.

Article 32 If legal disputes, economic losses, and reputation damage are caused by improper use or storage of seals, SIAT will hold relevant personnel responsible according to the circumstances. Those who cause serious losses or serious circumstances shall be transferred to relevant authorities for handling.

Article 33 These Management Measures shall come into effect from the date of promulgation. The original Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for Seals and Qualification Documents (SYZZ [2018] No. 47) shall be repealed simultaneously.

Shenzhen Institute of Advanced Technology shall be managed by reference to these Measures.