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## **Document System Compilation**

**Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences**

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# Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences

## Archive Management System

### Chapter 1 General

**Article 1** In accordance with the *Archives Law* of the People's Republic of China and the relevant regulations and rules of the Chinese Academy of Sciences on archives management, combined with the actual situation of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences, (SIAT), this Archive Management System is specially formulated.

**Article 2** The purpose of archive management in the Institute is to centrally and uniformly manage archives of various units, categories, and carriers, maintain the integrity and security of archives, facilitate storage and utilization, and fully utilize the supporting role of archives in the Institute's work.

**Article 3** The Institute adopts the *Compilation of Archiving Standards of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* to manage and guide archive work.

**Article 4** To raise the awareness of archives among all staff members, establish an archive management framework, establish a sound top-to-bottom archive management process, clarify job responsibilities, formulate relevant systems and norms, ensure that archive management is integrated into various processes of archive generation to become an organic whole, making archive management more systematic, scientific, and rigorous.

**Article 5** Archive work shall be included in the Institute's agenda; establish a responsibility system for leaders in charge of specific areas of the Institute, incorporate it into the development programmes, plans, and summaries of this unit, and establish necessary special funds to create conditions for carrying out archive work.

**Article 6** Archive work shall be included in the Institute's various work and regulations, and archive assessment is a basic content for assessing the completeness

and standardization of scientific research processes in scientific research units and the norms of work in management departments.

## **Chapter 2 Management System and Its Main Responsibilities**

### **Article 7 Management System**

A leader of the Institute is responsible for overseeing the archive work of the entire institute. The Comprehensive Archives Room is subordinate to the Department of General Affairs, responsible for programming or planning the archive work of the entire institute, construction of archive systems, construction of archive teams, operation and maintenance of archive systems, full-process management of archive scientific research projects, application and execution of archive projects, and also responsible for centrally and uniformly collecting and storing archives of various categories and carriers. Functional departments and scientific research units shall appoint part-time archivist, clarify their responsibilities, form a top-to-bottom archive management process, and ensure the effective implementation of archive work. The Archives Appraisal Committee is composed of relevant experts and is approved by leaders in charge of specific areas to approve the appraisal work of the Institute's archives.

### **Article 8 Main Responsibility**

#### **(I) Principal leaders of the Institute**

1. Organize the implementation of policies, regulations, and laws on archive work of the State and the Chinese Academy of Sciences, incorporate archive work into the Institute's development programmes, plans, and summaries, and provide support in terms of hardware and software construction, funds, venues, personnel allocation, and training exchanges.

2. Regularly listen to reports from archive business departments on archive achievements and difficulties, and help solve practical problems in archive work.

3. Improve the construction of the archive team to ensure the relative stability of the archive team, care for and support the work of archivist, actively create conditions to improve the professional quality of archivist, correctly understand and fairly evaluate the work performance of archivist, care for the personal interests of archivist, and encourage archivist to do a good job in archive work.

## (II) Responsibilities of the Comprehensive Archives Room

1. Responsible for the centralized and unified management of archives of various categories in the entire institute.
2. Responsible for the operation and management of archive systems.
3. Responsible for formulating long-term plans and short-term plans for archive work of the Institute.
4. Responsible for the construction of archive management institutions and teams, training of full-time and part-time archive teams.
5. Responsible for the unified allocation of storerooms, archive consumables and allocation, guarantee of hardware and software conditions, etc.
6. In accordance with the policies and regulations of the State and the Chinese Academy of Sciences on archive work, formulate the archive work management system of the Institute.
7. Organize, supervise, inspect, and assist part-time archivist in the formation, accumulation, sorting, and filing of documents and materials, and do a good job in archive storage, borrowing, and appraisal, check and accept whether archives are complete, accurate, and systematic.
8. In order to cooperate with statistical reporting, leadership decision-making, and enable various departments to better carry out their work, the Comprehensive Archives Room actively provides archives in various forms according to needs, provides archive information and archive statistical data.
9. Abide by various regulations on confidentiality work of the State to ensure archive security and safeguard the legitimate rights and interests of the unit.

## (III) Responsibilities of functional modules and scientific research units

1. Responsible for coordinating and responding to various archive work tasks issued by the Comprehensive Archives Room to ensure smooth communication of archive work information.

2. Complete collection and pre-filing of documents and materials in various activities and scientific research processes.

3. Abide by archive laws, regulations, and the archive system of this unit, abide by various regulations on confidentiality work, ensure archive security, and safeguard the legitimate rights and interests of the unit.

### **Chapter 3 Strengthen the construction of the archive team and improve the level of archive work**

Establish a professional full-time and part-time archive team with high political awareness, good professional quality, and strong professional knowledge, maintain the relative stability of personnel to meet the needs of archive management work in the Institute. Full-time archivist shall have a bachelor's degree or above in archive science or related majors. Part-time archivist shall have a bachelor's degree or above, a certain level of professional knowledge, and knowledge and skills in archives. Full-time and part-time archivist shall be loyal to their duties, abide by discipline and law, love archive work, be dedicated to their jobs, and conscientiously do a good job in archive work, actively strive for innovation, continuously improve archive management and service levels, and better serve various tasks of this unit.

#### **Chapter 4 Archive Assessment and Rewards and Punishments**

The Comprehensive Archives Room is responsible for supervising and guiding the archive work of the entire institute and organizing the reception of archive materials formed by various activities to ensure completeness, accuracy, systematicity, security, and effective utilization. No department or individual may refuse to file archive materials or claim to have them for any reason. Each department shall designate a dedicated person responsible for departmental archive work. The Comprehensive Archives Room is responsible for assessing the archive work of all units (departments) of the entire institute. The assessment results are included in the corresponding module of the annual institute safety assessment, and departments and individuals who perform well in archive work are commended and rewarded. Units and individuals that impede archive work and fail to promptly remedy and correct it will be reported to the leaders in charge of specific areas of the Institute by the Archives Room for serious handling.



# **Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences**

## **Responsibilities of Full-time Archivist**

**Article 1** Full-time archivists must be politically reliable and progressive in their thinking.

**Article 2** Full-time archivists shall be loyal to their duties, dedicated to their jobs, and possess professional and comprehensive qualities.

**Article 3** They shall diligently study the Party's policies, regulations, and professional knowledge, continuously improve their political and theoretical levels, and be familiar with the responsibilities and work content of various departments of the Institute.

**Article 4** They shall conscientiously implement various policies and regulations on archive work of the State, provinces, cities, and the Chinese Academy of Sciences, and perform various tasks such as collecting, sorting, filing, storing, appraising, and utilizing archives, as well as maintaining the operation and maintenance of the archive system.

**Article 5** They shall formulate and abide by various rules and regulations on archive work, supervise, inspect, and guide the work of part-time archivist.

**Article 6** They shall be familiar with and master the content of archived documents, actively engage in archive utilization work, pay attention to collecting feedback information, and engage in archive compilation and research work.

**Article 7** They shall regularly conduct archive cleaning work, reconcile accounts and articles, avoid arbitrary stacking, and complete annual filing, and inventory data statistics, and timely report to relevant departments.

**Article 8** They shall organize the destruction of documents and materials throughout the Institute, determine the preservation value of archives that exceed the retention period, fill out the destruction inventory, propose destruction and disposal opinions, and obtain approval from the Archives Appraisal Committee.

**Article 9** Full-time archivist shall actively engage in the supervision of the entire process lifecycle of documents in their business work, supervise each unit to carry out the pre-filing work of archives in a timely manner.

**Article 10** They shall actively develop and utilize archives, strengthen archive publicity through different channels and forms, thereby enhancing the archive awareness of all staffmembers.

**Article 11** They shall actively seek and promote research on subjects of archive-related projects to improve the advancement of archive work in the entire institute.

# Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences

## Responsibilities of Part-time Archivist

**Article 1** In addition to completing their own work, part-time archivists have the responsibility and obligation to concurrently serve corresponding archive work positions and cooperate with and assist full-time archivists of the Comprehensive Archives Room in their work, ensuring the transmission and distribution of archive work information.

**Article 2** Part-time archivists shall accept business inspections, supervision, and guidance from relevant management agencies and the Comprehensive Archives Room regarding archive work.

**Article 3** Part-time archivists shall strive to learn and promote the *Archives Law of the People's Republic of China* and archive-related norms and regulations of provinces, cities, the Chinese Academy of Sciences, and SIAT.

**Article 4** Part-time archivists shall conscientiously implement the corresponding archive work in the archive system.

**Article 5** Part-time archivists shall maintain close working relationships with the Comprehensive Archives Room, periodically report and provide feedback on the archive work of their departments, and the Comprehensive Archives Room shall help solve archive-related problems in various departments according to specific circumstances.

**Article 6** Part-time archivists shall promptly collect and organize documents completed by their departments, ensure the completeness and integrity of documents, prevent the loss of document materials, and cooperate with the Comprehensive Archives Room to complete the annual filing work according to the specified time. Simultaneously, they shall urge the department to establish archive pre-filing, ensuring that pre-filing meets the corresponding standards and specifications for filing.

## **Archive Pre-filing System of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences**

Archive pre-filing work is one of the important tasks of archive management in SIAT. Standardizing archive pre-filing work, doing well in routine filing work, improving annual filing efficiency, and ensuring the completeness and integrity of archives play an important role for searching and using document materials by various departments. To standardize the pre-filing work of various departments, the following system is specially formulated:

(I) A part-time archivist familiar with the business of various types of archives is designated, who leads the collection of pre-filing materials formed by various business personnel in the unit (department) and pre-filing.

(II) Part-time archivists are responsible for pre-filing work on document materials. The requirements for sorting work: The content is complete and intact, without duplicate materials, and the materials have preservation value. Part-time archivist shall process document materials according to filing requirements: remove staples, write page numbers, compile catalogs, etc.

(III) Each filing unit shall compile pre-filing categories according to the *Compilation of Archiving Standards of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* and adjust the categories according to actual work. Classification shall not only conform to the organic continuity of archives but also conform to the business logic of the type of archive.

(IV) Various research units (departments) shall actively cooperate with the Comprehensive Archives Room and part-time archivists to do a good job in pre-filing.

(V) The Comprehensive Archives Room inspects and assesses the completeness, accuracy, effectiveness, and material value of pre-filing in various research units (departments), points out inappropriate parts, modifies and improves them until the pre-filing work meets filing requirements.

(VI) During the annual filing cycle, files and materials that shall be archived for the previous year are transferred to the Comprehensive Archives Room in accordance with the *Compilation of Archiving Standards of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences*, and a transfer catalog is filled out.

(VII) Pay attention to the security and confidentiality of document materials during the pre-filing process.

(VIII) All paper sizes of archived materials shall adopt the A4 standard, and oil pens and pencils shall not be used for writing.

(IX) The Comprehensive Archives Room will inspect and assess the pre-filing situation of various research units (departments) annually, and the assessment results will be included in the corresponding module of the annual institute safety assessment.

# **Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences**

## **Archive Storeroom Management System**

**Article 1** Archives in the storeroom must be scientifically classified, arranged, and cataloged according to categories and carriers, with cabinets arranged in order.

**Article 2** Archive storerooms must be sturdy and comply with "ten prevention" standards such as fire prevention, theft prevention, moisture prevention, light prevention, rodent prevention, insect prevention, dust prevention, and high temperature prevention.

**Article 3** Archive managers must regularly inspect the storage of archives. Damaged archives must be repaired, copied, or otherwise technically processed in a timely manner. Archivists shall regularly inventory the number of archives and maintain physical management ledgers.

**Article 4** Use dehumidifiers and air conditioning equipment to regulate the temperature and humidity of the storeroom. The temperature standard for archive storerooms is 14-24°C, and the relative humidity standard is 45-60%. Temperature and humidity shall fluctuate within  $\pm 2^{\circ}\text{C}$  and  $\pm 5\%$  respectively within the specified range.

**Article 5** The storeroom shall be cleaned regularly and kept tidy, and items unrelated to archive management shall not be stored.

**Article 6** When archive materials are accessed and moved, archive managers shall handle them gently to minimize mechanical wear and tear.

**Article 7** Non-archive employees are not allowed to enter the archive storeroom without permission. When borrowing and returning archives, they shall be carefully inspected. After confirming no issues, they shall be checked out and returned to their original positions. Any issues found shall be promptly reported and resolved.

**Article 8** Archive materials must not be taken out of the storeroom or copied without permission. Those who violate this regulation and cause adverse consequences will be held responsible.

**Article 9** Photography or filming of archives in the storeroom is prohibited without approval. Unauthorized entry with devices such as phones, cameras, camcorders, or recording pens is also prohibited.

**Article 10** All electrical gates in the storeroom must be secure, and the power shall be turned off when leaving work. Smoking, open flames, and bringing flammable or explosive materials into the archive storeroom are strictly prohibited. Fire extinguishing equipment such as heptafluoropropane fire extinguishing devices and fire extinguishers shall be installed in the storeroom, and the property management department shall inspect and replace them regularly.

**Shenzhen Institute of Advanced Technology, Chinese Academy of  
Sciences**

**Archive Storeroom Security System**

**Article 1** The archive storeroom is a sensitive area, and non-archive managers are prohibited from entering. If entry is necessary due to work requirements, it must be approved by the Comprehensive Archives Room, and entry arrangements must be made by archivists. After entering the warehouse, random browsing of archives is prohibited. Once work is completed, individuals must leave immediately without lingering.

**Article 2** Archives Room personnel have a responsibility to conscientiously maintain the security of the archive storeroom and prevent accidents that may endanger archive safety. A dedicated security officer must be assigned to the storeroom to be responsible for security, defense, confidentiality, fire prevention, and other matters.

**Article 3** Archives that have not undergone borrowing procedures are strictly prohibited from being taken out of the storeroom. Archive managers must be highly vigilant and conduct regular security checks of the storeroom. If any problems are discovered, they must be reported to relevant leaders and security and confidentiality agencies for prompt handling.

**Article 4** Smoking and eating are strictly prohibited in the storeroom, and open flames are not allowed for lighting or heating purposes.

**Article 5** The storeroom must be kept clean, with waste paper cleaned up promptly, and flammable or explosive materials are not allowed to be stored.

**Article 6** There shall be a distance of at least 0.5m between archive cabinets, materials, and electrical distribution boxes, wires, and lights.



**Article 7** Archive managers must conduct safety checks before leaving work, cut off power, and lock the doors before leaving.

**Article 8** In the event of emergencies, refer to the *Contingency Plan of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Archive Management* for execution.

## **Feedback System of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Archive Utilization**

**Article 1** Anyone who uses archives at the Institute is responsible for providing feedback to the Comprehensive Archives Room on the benefits, effectiveness, and potential for utilization of the archives. They shall fill out the "Archive Utilization Effect Record Card".

**Article 2** The Archive Utilization Effect Record Card records the actual effects of archive utilization. It is essential for promoting the importance of archive work and for statistical work at higher-level authorities, requiring users to fill it out conscientiously.

**Article 3** Users shall truthfully fill out various contents of the Archive Utilization Effect Record Card, including the economic and social benefits obtained from using archives, problems that need to be solved, opinions and suggestions on archive management.

**Article 4** The Comprehensive Archives Room will compile statistics on the benefits of archive utilization based on feedback information and information collected from other sources.

**Article 5** The Archive Utilization Effect Record Card shall be filled out after the utilization is completed and promptly submitted to the personnel of the Comprehensive Archives Room before leaving.

# **Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences**

## **Archive Statistics System**

**Article 1** Conscientiously carry out the statistical work of archive data to provide a basis for higher-level national archive management agencies to formulate work policies, guidelines, and career planning.

**Article 2** Do a good job of annual statistics on archive increments and total archives, including physical and system archive data, to have a clear understanding of the archives in storage.

**Article 3** Complete statistics reports for the Institute, province, and city. Besides submission, a copy shall be kept for records.

**Article 4** The main contents of the statistics include:

- (1) Storeroom area
- (2) Personnel situation
- (3) Quantity of various archived documents (physical archives and archive system data)
- (4) Types of retrieval tools
- (5) Types of compilation and research materials and archive publicity
- (6) Archive utilization situation
- (7) Changes in archive protection equipment and software and hardware (air conditioning, dehumidifiers, humidifiers, archive systems, Blu-ray disc storage systems, compact shelving, iron cabinets, certificate cabinets, etc.)

# **Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences**

## **Archive Appraisal and Destruction System**

**Article 1** Under the leadership of the principal leaders of the Institute, the Comprehensive Archives Room, together with relevant departments, forms an archive appraisal team to conduct regular archive appraisal work.

**Article 2** Destroyed documents are sent to the Shenzhen Confidential Technology Service Center of the National Administration of State Secrets Protection for unified destruction.

**Article 3** The archive appraisal team conducts appraisals: For archives whose retention period has expired but still have preservation value, the retention period shall be extended; for archives whose retention period has expired and no longer have preservation value, relevant archive catalogs shall be created, and after approval and signature by the leadership, they shall be sent for destruction.

**Article 4** During the Institute's irregular archive/document appraisal and destruction activities, the person in charge of collecting documents in each unit (department) must ensure that the documents to be destroyed meet the destruction requirements to avoid unnecessary trouble caused by erroneous destruction. They shall be uniformly sent to the Comprehensive Archives Room and go through the archive destruction approval process, with the approval form retained for record.

**Article 5** Non-confidential archive destruction work is carried out by the Comprehensive Archives Room, which proposes destruction opinions, handles destruction procedures, and can only proceed with destruction after approval by the department leadership to which the archive belongs. Confidential archive destruction work is carried out by the Confidentiality Office.

**Article 6** During archive destruction, two people shall be assigned to supervise the destruction. The supervisors shall carefully check and verify before destruction, and after destruction, they shall sign and stamp on the destruction inventory.

**Article 7** Archives must not be destroyed without appraisal and approval procedures.

**Article 8** After the destruction of archives, the destruction inventory and procedural materials shall be stored in the archive's comprehensive volume, and markings shall be made on the original archive records.