

Archiving Specifications of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Patent Licensing and Transfer Files

1 General

1.1 To strengthen the archiving work of patent licensing and transfer project files at Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (hereinafter referred to as "the Institute"), ensure the completeness, accuracy, systematicness, and safety of patent licensing and transfer project files, standardize the Institute's archive disposal behavior in patent licensing and transfer, prevent the loss of patent licensing and transfer project files, improve the quality and management level of patent licensing and transfer project files, give full play to the role of patent licensing and transfer project files in statistics and management, according to the relevant laws and regulations of the *Archives Law of the People's Republic of China* and the *Law of the People's Republic of China on the Promotion of the Transformation of Scientific and Technological Achievements*, and in combination with the Institute's *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on the Transfer and Transformation of Scientific and Technological Achievements* and actual management, these Specifications are formulated.

1.2 These Specifications put forward the basic requirements and management responsibilities for the archiving work of patent licensing and transfer projects in the Institute, stipulates the scope of filing, quality requirements, as well as requirements for organizing documents and archive acceptance.

2 Normative References

The following standards, containing clauses cited in these Specifications, constitute clauses of these Specifications through reference.

2.1 *Archiving Specifications of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Holding Enterprise Files (Trial)* shall be implemented from January 14, 2020.

3 Terminology

3.1 Patent Licensing and Transfer Project

Refers to the achievement transformation project in which the Institute licenses or transfers patents owned by the Institute as the patentee and obtains cash income. Forms of patent licensing include general license, exclusive license, and sole license according to the strength of the license. Forms of patent transfer include patent rights transfer and patent application rights transfer based on transfer types.

3.2 Patent Licensing and Transfer Project Files

Refers to the general term of files and materials of various carriers such as text, charts, audio, and video records that directly reflect the decision-making and execution process of patent licensing and transfer projects in the Institute.

3.3 Original

The original file initially generated, distinguished from a copy.

3.4 Copy

A replica with the same content as the original.

3.5 Archived File

Refers to the general term for files with preservation value formed during the decision-making and execution process of patent licensing and transfer projects in the Institute (Resolution of the Director Office Meeting, formation of minutes; public announcement of patent list; signing of transfer license agreements; patent transfer; distribution of license transfer rewards). Includes but not limited to various paper files and audio-visual materials such as documents, accounting, scientific research, and honors.

3.6 Archived File Compilation

The process of organizing, binding, classifying, arranging, numbering, cataloging, and packing the chronological sequence (Director Office Meeting, patent announcement, signing of agreements, patent transfer, and distribution of license transfer rewards) of patent licensing and transfer projects to make them orderly.

4 Basic Requirements and Management Responsibilities

4.1 Basic requirements

4.1.1 The Office of Knowledge Transfer Services of Transfer Department shall follow the archive requirements of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences, organize the Office of Knowledge Transfer Services of Transfer Department to implement the archive work.

4.1.2 The Office of Knowledge Transfer Services of Transfer Department shall have part-time archivists responsible for the formation, accumulation, organization, filing, and handover of patent licensing and transfer project files.

4.2 Management responsibilities

4.2.1 Responsibilities of the principal leaders of the Institute

4.2.1.1 Strengthen the leadership of the archive work of patent licensing and transfer projects in the Institute and include it in the agenda of work meetings.

4.2.1.2 Pay attention to the management of patent licensing and transfer project files, ensuring the necessary conditions such as personnel, finance, materials, premises, and safety.

4.2.2 Responsibilities of the Office of Knowledge Transfer Services of Transfer Department

4.2.2.1 Responsible for formulating management system for patent licensing and transfer project files, ensuring that the work of patent licensing and transfer project files is included in the target management and assessment of the department.

4.2.2.2 Clarify the responsibilities of the positions in charge of patent licensing and transfer project file management, responsible for the collection, classification,

organization, leak checking, and other work related to patent licensing and transfer project materials.

4.2.3 Responsibilities of the Comprehensive Archives Room

4.2.3.1 Responsible for guiding, inspecting, supervising, and assisting the Transfer Office in archiving relevant materials.

4.2.4 Responsibilities of Part-time Archivists

4.2.4.1 Responsible for the collection, accumulation, and pre-filing of files and materials in the department.

4.2.4.2 Responsible for organizing and archiving departmental files.

4.2.4.3 Participate mainly in the identification of the scope of departmental archived files.

5 Scope of Archiving

5.1 Scope of Archiving

5.1.1 Valuable files formed in the patent licensing and transfer projects in the Institute (minutes of meeting deliberated and approved through the Director Office Meeting, public announcement of patent list, signing of transfer license agreements, patent transfer, and distribution of license transfer rewards).

5.1.2 Files that require internal decision-making approval and seal by the Institute.

6 Formation, Accumulation, and Organization of Archived Files

6.1 Compilation and filing

6.1.1 Principle of filing: Following the formation law and completeness characteristics of patent licensing and transfer files, maintaining the organic connection of files within the volume for the convenience of archive storage and utilization.

6.1.2 Based on the actual situation of patent licensing and transfer files, including content, value, quantity, classification, and media form, systematic organization is conducted to form one or several volumes.

6.1.3 Compilation of volume No. Numbering follows the format "Archive Code-Classification No.-Subsidiary Legal Entity Code-Year of Signing of License Transfer Agreement-Year of Establishment in the Current Year-Number of Items". The archive code for patent licensing and transfer is "Q", with two types of classifications: "01" for patent transfer and "02" for patent licensing. The subsidiary legal entity code: Currently, the archive of patent licensing and transfer is classified according to the legal entity of the Institute, with the central legal entity code "ZY" (patents of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences), and the local legal entity code "DF" (patents of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences). The year of signing the license transfer agreement is represented by a four-digit Arabic numeral. The order of establishment in the current year is a two-digit number, i.e., "01". The number of items is a three-digit number, i.e., "001". For example, Q-01-ZY-2015-02-001.

6.1.4 The arrangement of files within the volume follows the stages of patent licensing and transfer. In the volume, inseparable files are arranged according to the following requirements: the printed copy and final draft of the same file, main and supplementary parts shall not be separated. They are arranged in the following order: printed copy before final draft, main part before supplementary part, and translation before original text.

6.1.5 The standard paper size for files within the volume is generally A4 (297mmX210mm).

6.1.6 The management of audiovisual products follows the specific regulations of the *Archiving Specifications of Shenzhen Institute of Advanced Technology*, Chinese Academy of Sciences on Audiovisual Archives.

6.2 Repair

Damaged files shall be repaired; oversized paper shall be folded to A4 size. When there are many pages, it is advisable to fold them individually for easy reference after archiving. For paper smaller than A4 size, if it is a single-page standard, it can be pasted onto A4 paper; if it is a double-page standard, consider adding margins to match the width of A4 size for ease of binding and boxing utilization.

6.3 Binding

Archived files are bound by item. Before binding, arrange them in order. Stainless steel staples must be used for binding. If a file has many pages, it can be bound using the "three-hole one-line" method or made into a glued book.

6.4 Arrangement

Archived files are arranged based on the reasons combined with time, importance, etc. Complete sets of files such as meeting files and contract agreements are arranged based on the time or purpose of the event.

6.5 Cataloging

6.5.1 Item No.: sequence number of files within the volume.

6.5.2 Responsible party: the organization or individual that issued the file, i.e., the unit or signatory for the formation of the files.

6.5.3 File No.: serial number of the files.

6.5.4 Title: title of the files. If there is no title or it is not standard, a title can be created based on the content of the file, enclosed in square brackets "[]".

6.5.5 Date: date of the file, marked with an 8-digit Arabic numeral representing the month, day and year.

6.5.6 Page count: the number of pages in each archived file. A page with both text and graphics in the file is counted as one page.

6.5.7 Remarks: notes on information that needs to be explained in the file. (When archiving electronically, if the content of a document requires a detailed explanation and cannot be accommodated in the index, a brief description of the event origin and the names of the archived files can be included in the remark column.)

6.5.8 The paper size for the archived file index follows the international standard A4 size.

6.5.9 Boxing: Archived files are placed in archive boxes in sequential order by item number, and the archive box cover, spine, and preparation form items are filled out. The archive box cover shall indicate the name of the fond.

7 Requirements for Archived Files

7.1 Quality requirements for archived files

7.1.1 Archived files shall ideally be originals, generally one copy each, and shall be submitted together for approval. Additional copies may be appropriately added for important, frequently used, or specialized needs.

7.1.2 Archived files must be true and accurate, consistent with the physical objects or situations.

7.1.3 Archived files shall have neat handwriting, clear images, tidy graphics, and complete dates of document formation.

7.1.4 Foreign language files and their corresponding Chinese translations shall be archived. For untranslated foreign language documents, a Chinese title shall be provided. Files shall comply with the requirements stipulated in contracts and agreements.

8 Transfer of archived files

8.1 Archiving time

In principle, archiving and transfer shall be completed by June of the second year after the completion of a patent licensing and transfer matter. Real-time archiving can be carried out according to actual circumstances.

8.2 Archiving procedures

Part-time archivists fill out the patent licensing and transfer material transfer list in duplicate. After verification by the Comprehensive Archives Room, both parties sign on the handover lists, each keeping one copy.

9 Borrowing

9.1 Patent licensing and transfer archives are generally only allowed to be accessed by the Transfer Department or relevant personnel.

9.2 For non-related personnel requiring access to relevant archives due to work needs, permission from the Transfer Department leadership is required before viewing in the Archives Room.