

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

## Chapter 1 General

**Article 1** To establish the institutional foundation of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT), to run the Institute scientifically, democratically, and in accordance with the law, and based on the Charter of Chinese Academy of Sciences, the *Comprehensive Management Regulations of Chinese Academy of Sciences on Institutes*, and the *Charter of the Council of Co-building Research Institutions by Chinese Academy of Sciences and Cooperation Partners*, this Charter is formulated.

**Article 2** The purpose and scope of business of SIAT are: to carry out advanced technology research and promote scientific and technological development; research on information, electronics, and communication technology; research on new materials and new energy technology; research on high-performance computing, automation, and precision machinery; research on biomedical technology and medical engineering; relevant academic education, postdoctoral training, and academic exchanges; transfer and transformation of achievements and enterprise incubation.

**Article 3** The guiding principles of SIAT are: facing major national needs, facing the forefront of world science, facing the main battlefield of the national economy, establishing a mechanism of "cross-disciplinary, systematic realization, and close cooperation with the industry", enhancing the independent innovation capabilities of the Guangdong-Hong Kong region, promoting the establishment of domestically independent intellectual property rights, and becoming an internationally first-class industrial research institute.

**Article 4** The development model of SIAT is: to build a four-in-one innovation system of "scientific research, education, industry, and capital".

**Article 5** SIAT is composed of research institutes, forward-looking centers, public technology platforms, and administrative departments, and relevant units led by the Director Office Meeting are set up according to development needs.

## **Chapter 2 Council Management System**

**Article 6** In accordance with the relevant provisions of the *Charter of the Council of Co-building Research Institutions by Chinese Academy of Sciences and Cooperation Partners*, SIAT is led by the Council and conducts its work in accordance with the prescribed responsibilities and rules of procedure. The Council has a Secretariat Department responsible for the daily work of the Council.

**Article 7** The Council is the highest decision-making organization for the management of SIAT, reviewing the development plan and strategy and legal person tenure of SIAT, the annual work report and work plan, the annual budget and final accounts, incentive schemes, etc.; the Council has the final decision-making power over the transfer and transformation of achievements of SIAT. While safeguarding the rights and interests of all parties of the Council, gradually transition technological innovation resources such as personnel, finance, and materials from administrative allocation to Council allocation, gradually realize the separation of management, operation, and supervision, and achieve co-building, co-management, co-ownership, and sharing of SIAT by all parties involved.

**Article 8** SIAT has one president and several deputy director, among which one deputy director is recommended by the Shenzhen Municipal People's Government and one by the Chinese University of Hong Kong. The candidate for the director is nominated by the Chinese Academy of Sciences and appointed by the Chinese Academy of Sciences after being approved by the Council. The president is the legal representative of SIAT and is fully responsible for all the work of SIAT. Deputy director assist the director in his work and are responsible for their respective areas of work.

**Article 9** The Council generally convenes once a year. In case of major emergencies, the Council Chairman may propose a motion, and after reconsideration by more than half of the Council members, the Council Chairman convenes a meeting. SIAT undertakes the work of the Council Secretariat Department, responsible for organizing and coordinating the relevant matters of the Council meetings, supervising the implementation of the meeting decisions during the adjournment of the Council, and communicating information to all parties involved in co-building.

### **Chapter 3 Management Mechanism of SIAT**

**Article 10** SIAT implements the system of the Director Office Meeting and the Institute Administrative Affairs Meeting:

#### **(I) Director Office Meeting System**

The Director Office Meeting is a meeting to approve the annual assessment plan and results, review deployment such as budget, decide on personnel appointments and removals, communicate important information inside and outside the Institute, and make major decisions on the work of SIAT.

The Director Office Meeting is chaired by the director, attended by deputy director, and relevant personnel may be invited to attend as non-voting members when necessary. The agenda of the Director Office Meeting is proposed by members of the Institute's leadership team, and shall be communicated with the director before the meeting (except for emergencies).

#### **(II) Institute Administrative Affairs Meeting System**

The Institute Administrative Affairs Meeting is a meeting where the Institute's leadership team discusses and formulates work plans, discusses and decides important work policies, measures, rules and regulations, and makes decisions on major issues in daily work.

The Institute Administrative Affairs Meeting is chaired by the director or by a leader appointed by the director, and attendees include deputy director, director Assistants, heads of units (departments), and leaders of the Party Committee and Discipline Inspection Commission. When necessary, relevant personnel may attend as non-voting members with the consent of the director.

**Article 11** SIAT establishes grassroots organizations of the Communist Party of China, accepts the leadership of the local party committee and the party group of the Chinese Academy of Sciences; establishes a discipline inspection commission to exercise corresponding rights according to regulations to ensure the smooth progress of various tasks of SIAT; establishes mass organizations in accordance with the law, establishes the system of the Workers' Congress, and carries out related work. It has a

Secretary of the Party Committee and a Secretary of Discipline Inspection Commission.

**Article 12** SIAT sets up academic committees by field.

Each academic committee is composed of 13-15 members, including scientific and technological experts, scientific management experts, or industrialists, among which the number of external experts is generally not less than one-third, with one chairman and two deputy head. Committee members are democratically recommended and appointed by the director, with a term of three years per session.

The academic committee is the basic form of academic democracy for SIAT, a consultation and evaluation organization for scientific and technological innovation work, and operates under the leadership of the Institute Administrative Affairs Meeting. Major responsibilities are:

(I) Providing consulting opinions and suggestions on the development strategy planning of SIAT, the "135" layout, major scientific research deployments, discipline layout and construction, and the cultivation and introduction of high-level talents.

(II) Providing review or recommendation opinions on the approval and evaluation of major scientific research projects, achievement appraisal, and rewards of achievements and talents.

(III) Providing evaluation opinions on the scientific work and academic level of high-end scientific and technological talents, and evaluation opinions on the candidates for recommended experts and academicians.

**Article 13** SIAT establishes a Management Committee for Operating Assets

The Management Committee for Operating Assets (referred to as the "Operating Management Committee") is the decision-making and deliberation body for the management of operating assets of SIAT, conducting its work under the leadership of the Director Office Meeting, representing SIAT in fulfilling the responsibilities of investors. The Operating Management Committee has an Office for the Management of Operating Assets (referred to as the "Operating Management Office"), which is a subordinate institution of the Operating Management Committee. It has one head and several deputy heads, and personnel appointments are submitted to the Director Office Meeting for deliberation and approval. Supervise and manage or guide services for the assets and equity formed by investment enterprises of SIAT in accordance with the authorization and the law. Establish and improve the technology transfer work system and mechanism, improve the management system for the transfer and transformation of scientific and technological achievements, and establish a mechanism for the income from achievement transformation to feed back the development of the Institute. The distribution of income from the transfer and transformation of achievements of SIAT is based on the following principles: The total amount received (after tax) from the transfer and sale of achievements, after deducting the cost, is distributed by SIAT and the scientific research and management team according to the documents of the Chinese Academy of Sciences and provincial and municipal governments. The distribution plan is implemented after being approved by the Director Office Meeting of SIAT.

**Article 14** SIAT establishes a Committee for Appointment to Positions

The Committee for Appointment to Positions is a consultation and evaluation organization for the appointment of senior professional and technical personnel and important management positions in SIAT. It operates under the leadership of the Director Office Meeting and is generally composed of more than 9 members, with one head served by the director, and the members nominated and appointed by the director. The Committee adopts the system of plenary sessions. The meeting is considered valid when two-thirds or more of the members are present. Resolutions of the Committee require the consent of two-thirds or more (inclusive) of the members present.

**Article 15** SIAT establishes a Degree Committee

The Degree Committee is a consultation and evaluation organization for graduate student education in SIAT, operating under the leadership of the Director Office Meeting, responsible for guiding, supervising, and evaluating the work of graduate student education and the granting of degrees. The Degree Committee has one chairman and one or two deputy chairmen. The chairman is served by the director of the Institute, and the deputy chairman is nominated and appointed by the chairman of the Institute. Its main responsibilities include: providing consultation opinions and suggestions on the development planning of graduate student education and the enrollment and education of graduate students, evaluating the qualifications of graduate student supervisors and the applications for graduate degrees, and providing opinions and suggestions on issues such as graduate student dropout, suspension, and other disputes.

**Chapter 4 Research Institutes and Research Units**

**Article 16** The research institute is an institution that carries out academic and scientific research work in specific scientific and technological fields under the management of SIAT. There is one director and several vice-directors in the institute. The Director shall be a technical expert with certain influence, high academic level, and technical expertise in the disciplinary field of the Institute at home and abroad, nominated by the President of SIAT; the vice-directors are nominated by the Director according to the conditions determined by SIAT, and appointed by the President Office Meeting of SIAT. Several assistants to the Director are set up, nominated by the Director, reported to the Institute, and appointed by the Institute through official documents. Several positions of business secretaries (assistants) are established to undertake relevant daily management affairs. Each research institute conducts scientific research activities around the positioning of the Industrial Research Institute of SIAT, and must abide by relevant regulations on scientific research integrity.

SIAT implements a "three-tier" management system of academy, institute, and center, and shall formulate relevant management systems. The Director Office Meeting establishes or cancels the establishment of institutes and centers based on relevant management systems and objective conditions.

**Article 17** The management of forward-looking centers and related units established according to business development follows the management model of research institutes.

## **Chapter 5 Public Technology Platform**

**Article 18** The public technology platform is composed of a series of laboratories, animal centers, and technical teams based on instruments and equipment support. Their task is to provide conditional services and platform support for scientific research activities inside and outside the Institute, to guarantee the conditions for scientific and technological activities of SIAT, and to carry out technical support and services such as procurement, testing, debugging, and processing.

The main tasks of the public technology platform are to assist in organizing the construction and operation of the Institute-wide public technology service platform; to be responsible for the construction, operation management of various laboratories and animal centers, and operation of technological platforms; to supervise laboratory equipment management and maintenance (referring to the *Interim Measures for Promoting the Sharing Management of Major Scientific Research Infrastructure and Large-scale Scientific Instruments in Shenzhen*), to provide support for various scientific research processing and testing; to guide the normative construction of laboratories, conduct safety inspections, undertake the construction and renovation of laboratories, and to be responsible for safety, hygiene, and laboratory regulation education, inspection, and supervision.

**Article 19** The public technology platform includes several professional laboratories or modules of professional technology platforms, each undertaking scientific research services, technical testing, and experimental tasks in their respective technical fields inside and outside the Institute.

**Article 20** There is one head and two deputy heads in the public technology platform, nominated by the director, discussed and approved by the Director Office Meeting, and appointed by the director. The platform may have several offices, and the Director of Office may be nominated by the Head of Platform.



## **Chapter 6 Human Resource Management**

**Article 21** The system of employing all staff members is implemented. Associate researchers and those who have worked in senior positions for more than 10 years (excluding years of failing the assessment) can be employed until the statutory retirement age.

**Article 22** Personnel in various positions are assessed hierarchically and classified, and the assessment results are the main basis for rewards, promotions, and dismissals.

**Article 23** The post-performance salary system is composed of basic salary, allowances, subsidies, and performance-based pay, gradually exploring and improving the contractual remuneration. The annual performance incentive system is implemented. According to the overall annual performance, 3%-5% of the competitive income (including council awards) is budgeted each year for performance incentives, and the performance incentives are included in the performance-based pay.

**Article 24** Actively exploring forms of participation in the distribution of knowledge and technical elements, gradually introducing various methods such as stock options and pre-distribution of income from technology development, and providing incentives to outstanding scientific research and management backbone. Members of the leadership team (excluding the principal) and middle-level leaders who make significant contributions to the transformation of scientific and technological achievements may receive cash rewards or equity incentives, and specific distribution plans are discussed and approved by the Director Office Meeting.

**Article 25** To implement the spirit of the "3H Project" (Home House Health) of the Chinese Academy of Sciences, stabilize the scientific and technological talent team, establish basic endowment insurance and basic medical insurance for employees in post, implement occupational (enterprise) annuity, supplementary medical insurance system, and establish a stable mechanism for the settlement of talents.

**Article 26** Middle-level cadres of SIAT include president assistants and principal and vice positions of functional departments; backbone teams include members of each research institute, assistant directors of institutes, and chairmen/executive heads of research units. The selection of the above-mentioned cadres can refer to relevant regulations of the Chinese Academy of Sciences.

## **Chapter 7 Graduate Student Education and Postdoctoral Management**

**Article 27** Graduate students of SIAT are divided into regular students, visiting students, joint training students, and international students and students from Hong Kong, Macao, and Taiwan. Regular students refer to graduate students enrolled in the enrollment plan of Graduate School of University of Chinese Academy of Sciences; visiting students refer to graduate students who have completed course learning at their registered units (universities, research institutions, etc.) and entered SIAT for scientific research practice and dissertation writing; joint training students refer to graduate students jointly recruited and trained under the framework of cooperation agreements between SIAT and famous universities or research institutions at home and abroad; international students and students from Hong Kong, Macao, and Taiwan refer to foreign students studying for doctoral or master's degrees at SIAT or conducting short-term visits and exchanges.

**Article 28** The management of postdoctoral researchers follows the relevant regulations of the State, the Chinese Academy of Sciences, and Shenzhen.

## **Chapter 8 Finance and Asset Management**

**Article 29** SIAT establishes a unified leadership and centralized management system for scientific financial management in accordance with relevant national laws, regulations, financial regulations, and regulations of the Chinese Academy of Sciences. It establishes norms for approval of fund use to regulate the financial operation and relationships of SIAT.

**Article 30** The main tasks of financial management:

(I) Scientifically formulate annual budgets, centrally and reasonably allocate funds and asset resources, strengthen budget execution management, and ensure the implementation of various activities throughout the Institute.

(II) Organize various types of income in accordance with the law and control and save various costs.

(III) Establish sound financial management regulations to regulate internal economic order.

(IV) Establish an economic accounting system to comprehensively reflect the costs of various activities and improve the efficiency of fund utilization.

(V) Truthfully reflect the financial status of SIAT according to the law, and conduct economic forecasting, control, and supervision of various activities.

(VI) Establish sound regulations for asset management to prevent asset loss.

(VII) Supervise the use of funds in accordance with various types of contracts or assignments.

**Article 31** Implement internal cost accounting system

(I) Conduct cost accounting to accurately reflect the input and output of various activities of SIAT, and maximize the benefits of various activities.

(II) Implement hierarchical accounting. Establish a two-level financial accounting system and independently account for costs at the level of departments and centers (units). Scientific research projects are accounted for separately in the relevant accounting units.

(III) Financial accounting units are managed through internal marketization. The costs incurred between financial accounting units are recorded in their respective cost accounts after the prices are determined according to procedures.

(IV) While conducting cost accounting for each financial accounting unit, establish cost accounts for various national and local science and technology projects undertaken in accordance with relevant national and local regulations on science and technology project management, and conduct cost accounting for each project.

### **Article 32** Annual budget preparation and adjustment

(I) SIAT formulates annual financial budgets based on annual work plans and objectives, and all income and expenditure are included in the annual financial budget of the Institute. By strengthening the formulation and execution management, the annual income and expenditure budget becomes an economic expression of the annual work objectives, scientific and technological innovation directions, transfer and transformation of scientific and technological achievements, and key points of team construction of SIAT.

(II) At the end of each year, the financial asset unified management department proposes the framework of income and expenditure budget for the next year. After deliberation by the President Office Meeting, the budget formulation plans of each department (unit) are decomposed. After comprehensive balance and summary, the draft income and expenditure budget for the next year of SIAT is formed. After being reviewed and approved by the SIAT, it is submitted to the Institute's Council for deliberation.

(III) After approval, the financial asset unified management department formally issues the income and expenditure budget control figures. They serve as the basis for organizing income, controlling expenditure, and as one of the important bases for the annual performance assessment of each unit by the Institute.

(IV) Once the income and expenditure budget control figures are issued, each unit may not adjust them on their own. If adjustment is necessary, the unit must propose an adjustment proposal, which will be implemented after procedural approval.

**Article 33** The main tasks of asset management

(I) Based on the principle of centralized management and hierarchical responsibility, establish sound regulations for fixed asset management to strengthen management in procurement, use, disposal, and other aspects, and improve the utilization efficiency of various fixed assets.

(II) Establish sound regulations for the management of intangible assets to strengthen management in the formation, operation, and disposal of intangible assets.

(III) Truthfully reflect the asset status of SIAT according to the law, control and supervise the occupation and use of assets for various activities, and ensure the integrity and security of the assets of SIAT.

**Article 34** The user department of fixed assets is responsible for the daily maintenance of the fixed assets it uses. The financial assets unified management department formulates detailed catalogs of various fixed assets, organizes regular inventory of fixed assets, and ensures consistency between accounts and reality. All personnel must return the relevant assets they use before leaving the unit.

## **Chapter 9 Public Affairs Management**

**Article 35** Following the principles of service innovation, standardization, efficiently operation, openness, and transparency, and complying with relevant regulations of the State and the Chinese Academy of Sciences on public affairs management, standardize the management of public affairs of SIAT.

**Article 36** Establish management systems for document drafting, review, approval, promulgation, archiving, and registration and supervision of document receipt and dispatch. Appoint specialized personnel to manage seals and clarify the authority to use seals.

**Article 37** Establish specialized departments or personnel to manage archives, establish management systems for receiving, organizing, storing, using, statistics, appraisal, transfer, and other aspects of archives, as well as confidentiality management systems, strengthen standardized construction of archive work, and ensure the integrity, safety, and effective utilization of archives for important scientific research and management activities.

**Article 38** Establish a responsibility system according to the principles of comprehensiveness, accuracy, appropriateness, and timeliness, and form a smooth information dissemination mechanism to effectively carry out information dissemination work. Strengthen website management.

**Article 39** Establish a system for public disclosure of the Institute's affairs. Conduct in-depth research before formulating major policies and regulations, solicit opinions from employees extensively before promulgation, and ensure that all employees are informed in a timely manner upon promulgation. Promote e-government affairs to provide an effective information promulgation platform for the public disclosure of the Institute's affairs.

**Article 40** Establish a system for confidentiality and safety management, build a safety system architecture, clarify the responsibilities of management departments and responsible person, and prevent and control the occurrence of various security incidents and accidents.

## **Chapter X Amendment of Charter**

**Article 41** Amendment of this Charter must be deliberated and approved by the Institute Administrative Affairs Meeting, and after approval by the Council, it shall be filed with all parties involved in the co-building and submitted to the registration and management authority for approval.

## **Chapter XI Bylaw**

**Article 42** Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences abbreviated as "SIAT" in English.

**Article 43** If there are any inconsistencies between this Charter and national, local laws and regulations, or regulations of the Chinese Academy of Sciences, they shall be executed in accordance with relevant national, local laws and regulations, and regulations of the Chinese Academy of Sciences, and shall be promptly revised according to procedures. If there are any inconsistencies between the regulations formulated by SIAT and this Charter, this Charter shall prevail, and the regulations shall be revised in accordance with this Charter.

**Article 44** This Charter shall come into effect after being deliberated and approved by the Council, and shall be filed with all parties involved in the co-building. If there are any inconsistencies between this Charter and the cooperation agreement between the Chinese Academy of Sciences, the Shenzhen Municipal People's Government, and the Chinese University of Hong Kong on the co-building of the Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences, the cooperation agreement shall prevail. The right to interpret this Charter belongs to the Institute Administrative Affairs Meeting of SIAT.