

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

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Notice of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Issuing the *Implementation Measures for the Allocation of Graduate Enrollment Quotas (Trial)* and the *Regulations on the Management of Interns*

All units (department) of the SIAT:

In order to standardize the management of enrollment, optimize the structure of students, and promote the collaborative education of high-quality scientific and educational resources, according to the relevant regulations of the Ministry of Education, the University of Chinese Academy of Sciences and the actual situation of the institute, the Implementation Measures for the Allocation of Graduate Enrollment quotas (Trial) is hereby formulated, and the *Regulations on the Management of Interns of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* has been revised. The above regulations have been deliberated and approved by the 2nd Institute Administrative Affairs Meeting in 2023 and are now being issued for implementation.

Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences

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Department of General Affairs of Shenzhen Institute of Advanced Technology,
Chinese Academy of Sciences

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Implementation Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for the Allocation of Graduate Enrollment Quotas (Trial)

Chapter 1 General

Article 1 To improve and optimize the allocation of enrollment quotas for the SIAT, according to the *Regulations of University of Chinese Academy of Sciences on the Administration of Enrollment of Graduates for Doctoral and Master's Degrees* (XFZ ZI [2019] No. 135), and the *Implementation Measures of University of Chinese Academy of Sciences on Further Optimizing the Allocation of Graduate Student Enrollment quotas (Trail)* (XFZ ZI [2022] No. 36), and combined with the actual situation of the SIAT, these Implementation Measures are hereby formulated.

Article 2 These Implementation Measures aim to give full play to the advantages, highlight the key points, further improve the quality of personnel training, promote the sustainable development of scientific research in the SIAT, and serve the overall situation of the country and the major strategic needs of the long-term development of the Chinese Academy of Sciences.

Article 3 The enrollment quotas are mainly inclined to the major scientific research tasks of the state and the Chinese Academy of Sciences, national talents, key cultivation of talents and key construction disciplines.

Article 4 It also aims to promote the rational allocation of resources, standardize the requirements of supervisor enrollment, and further improve the quality of student training.

Article 5 The dynamic management mechanism of separating the qualification of supervisors from the qualification of enrollment is implemented, and the qualification of supervisors is reviewed every year according to the scientific research projects and the quality of training.

Article 6 These Measures are applicable to the graduate student quotas of the University of Chinese Academy of Sciences, the graduate student quotas of the

joint training programs of the Southern University of Science and Technology and the University of Science and Technology of China, and the intern quotas.

Chapter 2 Principle of Indicator Allocation

Article 7 Doctoral indicator allocation principles of University of Chinese Academy of Sciences:

(I) Flexible quotas, reserving 10% -15% of the total quotas for directional support of major scientific research tasks, key cultivation of talents, new introduction of talents, etc.;

(II) Basic quotas are allocated according to the proportion of full-time doctoral supervisors in each institute, and the calculation basis is based on the results of supervisors' confirmation in that year.

Article 8 Full-time supervisors of the University of Chinese Academy of Sciences are allocated according to the proportion of full-time tutors in each research institute, among which academic master's quotas give priority to supporting the construction of key disciplines; and the part-time masters are allocated according to the double selection of faculty and students.

Article 9 The stable joint training of master's degree programs at Southern University of Science and Technology, University of Science and Technology of China, and other universities shall be arranged according to the requirements of the cooperating universities, combined with the needs of the disciplines and the situation of dual selection between faculty and students.

Article 10 The remaining graduate students of the joint training program are competitive quotas, and supervisors are encouraged to actively strive for them. The allocation of quotas is determined by the cooperative universities, which is implemented in accordance with the *Management Measures of Shenzhen Institute Of Advanced Technology, Chinese Academy of Sciences for Joint Training Projects* (SYJ ZI [2022] No. 64).

Article 11 Internship graduate students are allocated by the employing unit and supervisors according to the development needs of the institute and their own conditions, specifically in accordance with the *Regulations on the Management of Interns of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences* (SYJ ZI [2024] No. 8).

Article 12 Various research institutes should formulate the allocation plan of enrollment quotas according to their own situation, and incline the enrollment quotas to the major tasks and key talents undertaken by the unit.

Article 13 In principle, the allocation of enrollment supervisor quotas should meet the following requirements:

(I) The number of graduate students in each supervisor is less than 10 (including all types);

(II) Each supervisor of the following types of quotas (excluding foreign students) should not exceed one in the current year, including the doctor, full-time master, part-time master of the University of Chinese Academy of Sciences and the stable joint training master of Southern University of Science and Technology and University of Science and Technology of China;

(III) For other joint training programs, the enrollment quotas of supervisors should be determined according to the requirements of cooperative universities and the wishes of faculty and students.

Article 14 In principle, the allocation of directional doctoral quotas should meet the following requirements:

(I) Only full-time employees in the institute are recruited to study for doctoral degree graduate students;

(II) In principle, it should not exceed 20% of the total doctoral quotas of the UCAS in that year;

(III) Candidates should have worked full-time in the same unit of the SIAT for two years, and have obtained at least one excellent employee in the past five years;

(IV) In principle, candidates can only apply for the supervisor of the unit;

(V) Candidates must sign the *Agreement on On-the-job Doctoral Degree Study for Employees of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences*, and those who have not been approved to apply for the examination or have not signed a training agreement with the SIAT will be disqualified.

Article 15 In principle, the enrollment tutors should pass the qualification examination of the discipline group, meet the requirements of the supervisors of the discipline group, recruit students in the discipline group, and train graduate students according to the requirements of the discipline group.

Chapter 3 Dynamic Adjustment of Indicator Configuration

Article 16 Incremental quotas give priority to supporting major scientific research tasks, national talents, key training talents and key construction disciplines, and give appropriate preference to research institutes with good quality of students, good employment situation and great contribution to teaching.

Article 17 For supervisors under the following circumstances, in principle, no enrollment quotas will be allocated in the current year:

(I) Part-time supervisors, supervisors from institutions outside the local area and supervisors who leave their posts without pay;

(II) New recruits who have not obtained the qualification of supervisors of the University of Chinese Academy of Sciences;

(III) Supervisors who fail to pass the year-end assessment in the current year;

(IV) Supervisors who have not entered the catalogue of enrollment majors;

(V) Supervisors with little or no funds for scientific research topics who cannot guarantee the quality of training.

Article 18 In the process of training, if the following circumstances occur, the enrollment quotas of the corresponding levels of the relevant research institutes shall be reduced, and the specific amount and years of reduction shall be determined by the institute enrollment working group, and the reduction quotas shall be reconfigured as the incremental quotas of the current year:

(I) The ideological and political work is not in place, the students' ideological problems arise, causing major negative public opinion in the society;

(II) If the students die abnormally, the research institutes and supervisors are indeed at fault after verification;

(III) If there is a large-scale delay in graduation;

(IV) Major accidents occur, such as the sampling of graduate student dissertations identified as "problematic dissertations", the emergence of unqualified teachers' ethics and style, etc.;

(V) The employment rate of graduates will be less than 90% for two consecutive years;

(VI) There have been negative situations where other enrollment working groups have reviewed and determined that enrollment quotas should be reduced.

Article 19 For supervisors under the following circumstances, the enrollment quotas shall be reduced or cancelled, and the enrollment qualifications of supervisors shall be cancelled if the circumstances are serious:

(I) The supervisors whose ethics and style are not qualified shall be disqualified;

(II) Supervisors who violate scientific research integrity and academic misconduct will have their enrollment quotas reduced or their enrollment qualifications revoked depending on the severity of the situation;

(III) If there are prominent conflicts between faculty and students, and there are many complaints from students, and it is verified that the supervisor is indeed at fault, the enrollment quota for the mentor will be reduced;

(IV) If a student dies abnormally and the supervisors are indeed at fault after verification, their enrollment targets will be reduced or their enrollment qualifications will be cancelled, depending on the seriousness of the circumstances;

(V) If a student's published dissertation or graduation thesis violates the integrity of scientific research and academic misconduct, and if it is verified that the supervisors are indeed at fault, their supervisors' enrollment targets will be reduced;

(VI) If a student has dropped out of college in the past two years due to reasons such as exceeding the academic system and not graduating, the supervisors' enrollment targets will be reduced or the enrollment will be suspended, depending on the circumstances;

(VII) Supervisors will not recruit new graduate students three years before retirement (at the age of 57). Where there are major projects or continued employment and other circumstances need to continue to recruit students, they should be reviewed and approved before they can continue to recruit graduate students;

(VIII) The supervisors who leave their posts or leave their posts without pay will no longer be the supervisors of the graduate students under their names and the supervisors of the graduate students who have been admitted but not enrolled, and the institute will negotiate with the graduate students involved to change the new supervisors.

Chapter 4 Bylaw

Article 20 The Department of Education shall be responsible for the interpretation of these Regulations.

Article 21 These Measures are implemented as of the date of promulgation.

Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences

Regulations on the Management of Interns

Chapter 1 General

Article 1 In order to strengthen the exchanges and cooperation between the Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT) and domestic universities and research institutes, further standardize the management of interns, and promote the collaborative education of high-quality scientific and educational resources, according to Regulations on Student Management of the University of Chinese Academy of Sciences (XFX ZI [2021] No. 104), *Regulations on Internship and Employment of Graduates in Higher Education Institutions in Guangdong Province* (Revised at the 14th Meeting of the Standing Committee of the 13th People's Congress of Guangdong Province on September 25, 2019), *Regulations of SIAT on Student Management* (SYJ ZI [2022] No.55) and *Implementation Measures of Disciplinary Measures for Students of SIAT* (SYJ ZI [2022] No. 56), these Management Regulations are hereby formulated based on the actual situation.

Article 2 These Regulations are applicable to the students who practice in the SIAT and sign the *Tripartite Agreement for Interns of SIAT* with SIAT and the college.

Article 3 The SIAT designates research institutes, academies, etc. to be responsible for guiding interns in scientific research internships (hereinafter referred to as the Student Training Department), and the Department of Education of the SIAT is responsible for managing interns.

Chapter 2 Recruitment and Employment

Article 4 The recruitment of interns must meet the following conditions simultaneously:

1. In principle, it is a double first-class university, and the internship time is not less than one year. Doctoral interns can relax the conditions appropriately, and no longer recruit undergraduate student interns (except for exemption students and science and technology innovation programs);

2. The supervisor who recruits interns must have the qualification of tutor of the SIAT, the supervisor of Master. Ph.D. students and the supervisor of master's students;

3. The recruitment of supervisors must have new approved scientific research projects in the current year;

4. It must be recommended by the supervisors of the college, reviewed by the department, and signed a tripartite agreement.

Article 5 The recruitment and employment of interns is organized and implemented by the employing unit, which generally includes interviews, organizing students' psychological assessment, initiating employment applications and other links. After the review and approval of the employing department and the Department of Education, the offer notice is issued for employment.

Article 6 Intern interviews are organized by the employing unit. There are no less than 3 judges, including supervisors, deputy senior and above scientific research personnel, chairman of the special office of student management of the institute, class tutors, and psychological teachers.

Article 7 After receiving the admission notice from the SIAT, interns should report to the designated place according to the requirements and date stipulated in the admission notice.

Chapter 3 Responsibilities and Obligations

Article 8 The SIAT provides interns with safe working environment and necessary conditions for scientific research practice, provides accommodation and lunch subsidies, provides appropriate remuneration for internship, and purchases commercial insurance for interns. Refer to the *Tripartite Agreement for Interns of SIAT* and the *Regulations of SIAT on Student Management* for details.

Article 9 Student registration related matters of interns shall be managed by the college, and student household registration, files and party and league organization relations shall remain unchanged. Refer to the *Tripartite Agreement for Interns of SIAT* for details.

Article 10 Interns should abide by national laws and regulations, obey the management of the SIAT, and not leave their posts without authorization. They are not allowed to intern or work in other units at the same time.

Chapter 4 Student Management

Article 11 During the internship in the SIAT, interns should take the initiative to understand and consciously abide by the rules and regulations of the SIAT.

Article 12 Before the end of the internship or the termination of the internship agreement, the interns shall submit the relevant results to the SIAT; they shall comply with the provisions of the SIAT to handle the handover procedures and return the assets belonging to the SIAT to the SIAT; if the handover procedures are not handled, resulting in document leakage, loss, equipment damage, etc., the intern shall be responsible, and the costs incurred by the SIAT for rights protection shall be borne by the intern.

Article 13 At the end of the internship, interns should go through the formalities of leaving the institute. If the internship expires and needs to be extended, an application for renewal of the internship shall be submitted at least half a month before the expiration of the internship, and a new tripartite agreement for interns shall be signed. The internship can be continued only after approval, and the extended internship time shall not exceed the expected graduation date of interns.

Article 14 Interns can only leave the institute after completing the procedures of checking out, handover of work, and leaving.

Article 15 During the internship, if the SIAT, student registration college, and interns reach an agreement, they can complete the leaving procedures in advance to end the internship.

Article 16 If an intern falls under any of the following circumstances, they should end their internship and return to their registered college:

1. The student has physical or psychological health problems and is unable to handle the internship arrangements at the SIAT;
2. A student who has not taken leave or leave without approval, or has not participated in teaching and research activities stipulated by the internship department for a cumulative period of 5 working days or more;
3. During the internship, due to graduation, suspension, expulsion from academic status or withdrawal from the college;
4. If the cooperation project or research topic between the two supervisors is terminated, and after coordination, the SIAT cannot continue to provide training conditions for the student;

5. A student violates the rules and regulations of the SIAT or has a major accident, which has a negative impact on the SIAT;

6. The student has the behavior of violating public order and good customs and causing discussion or public opinion of the SIAT; or the student commits a crime;

7. Cheating, academic misconduct, fraud, etc. by a student;

8. Other circumstances approved by the student training department that are not suitable for continuing the internship.

Chapter 5 Intellectual Property Rights and Confidentiality Agreement

Article 17 During the internship, the ownership, use right and transfer right of the technical achievements (including patented technical achievements, non-patented technical achievements and works) completed by the interns belong to the SIAT. If the above technological achievements are applied for patents, the patent application right and patent right belong to the SIAT. For those who apply for software copyright registration, the software copyright belongs to the SIAT.

Article 18 The intellectual property rights of the research topic results participated by the interns during their internship shall be owned by the SIAT, and the interns shall not take away or transfer the research topic results in the SIAT without authorization. Interns shall not disclose the technical secrets of the SIAT or infringe upon the intellectual property rights of the SIAT. In principle, the SIAT should be the first unit to sign the study and research results and scientific research dissertations published by interns during their internship. Under special circumstances, the three parties (the SIAT, college and interns) can negotiate the order of byline according to the actual situation. The works formed by the research results of interns during their internship should be marked with the units of the SIAT at the same time.

Article 19 After leaving the Institute, the papers and patents published by the interns involve the research results during the internship in the SIAT, which should be signed with the name of Shenzhen Advanced Institute; and if the content of the dissertation involves the technical secrets or business secrets that have not yet been made public by the SIAT, the written permission of the SIAT must be obtained in advance.

Article 20 All information such as documents, financial or scientific research data of the SIAT and enterprises and institutions associated with the SIAT that interns understand, master and collect in any form shall be kept confidential permanently. It is not allowed to disseminate, disclose or lend the data, information, materials and equipment provided to interns by the SIAT or enterprises and institutions associated with the SIAT in any form. Where an intern violates the obligation of confidentiality, he shall pay liquidated damages to the SIAT in accordance with the agreement and compensate for all the economic losses caused by the SIAT.

Article 21 Where interns leave the SIAT, they need to transfer their intellectual property rights during their stay at the intellectual property unified management department of the SIAT.

Article 22 The scope and recognition criteria of intellectual property rights, scientific research dissertations and works of relevant technological achievements that should belong to the SIAT are interpreted by the SIAT.

Chapter 6 Bylaw

Article 23 Matters not covered in these Regulations shall be implemented with reference to the *Regulations of SIAT on Student Management*, *Implementation Measures of Disciplinary Measures for Students of SIAT*, and *Tripartite Agreement for Interns of SIAT*.

Article 24 These Regulations shall be interpreted by the Department of Education of the SIAT and shall come into force as of the date of issuance. The original *Regulations of SIAT on the Management of Interns* (SYJF [2022] No. 135) shall be repealed simultaneously.