Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Key Laboratory (Trial)

Chapter 1 General

Article 1 To strengthen and standardize the construction and operation management of the key laboratory of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences SIAT), according to the relevant regulations of the state ministries, Chinese Academy of Sciences, Guangdong Province and Shenzhen Municipality, and combination with the actual conditions of the SIAT, these Measures are hereby formulated.

Article 2 These Measures apply to the key laboratories approved by the State ministries, Chinese Academy of Sciences, Guangdong Province and Shenzhen Municipality and built by the SIAT.

Chapter 2 Management Institution and Responsibilities

Article 3 The Department of Science & Technology Development of the SIAT is the management department of the construction and operation of key laboratories to supervise and assist laboratory construction and operation, major activities, project application, external exchanges, assessment and evaluation on the whole, with its responsibilities including:

1. Deploying and fostering relevant key laboratories according to the discipline construction and scientific research development of the SIAT;

2. Guiding the construction and operation of the key laboratories, coordinating and solving the major problems in the development of the key laboratories according to the management measures of the superior competent departments;

3. Assisting in organizing to recommend the key laboratory head and deputy head, recommending head of the Academic Committee, Appointing deputy head and members of the Academic Committee, and report to the superior competent department;

4. Organizing annual assessment and evaluation of key laboratories, cooperating with the superior competent department to make evaluation and inspection;

5. Responsible for reviewing and approving major opinions or changes such as key laboratory name, research direction, development goal, organization structure according to the developmental needs, and reporting such changes to the superior competent department.

Article 4 The research institutes and scientific research units of the SIAT are the specific departments responsible for the construction and operation of key laboratories, with their main responsibilities including:

1. Fostering relevant key laboratories according to the development and deployment of the SIAT and in combined with the discipline construction and scientific research development status of the scientific research unit, and organizing the application work to strive for the approval of the superior competent department;

2. Properly prepare development planning for the approved key laboratories, providing necessary work place, instruments and equipment, supporting conditions guarantee for them;

3. Organizing the selection and recommendation of head and deputy head of key laboratories, head, deputy head and members of Academic Committee.

Article 5 Each key laboratory should set up the post of full-time (part-time) academic and administrative secretaries who carry out daily routines, with the responsibilities including:

1. Collect and compile academic annual reports, prepare and summarize academic annual meetings and academic committees;

2. Manage application, review, final conclusion and funds of open research topics and other projects;

3. Assisting the he ad to carry out daily scientific research business, related planning, management and services for instruments and equipment, fund use, etc.;

4. Responsible for organizing key laboratory academic exchange activities at home and abroad, and conducting business contact with relevant organizations at home and abroad;

5. Responsible for the construction, publicity, update, and maintenance of the key laboratory's webpage;

6. Assisting the laboratory head to handle other scientific research and administrative affairs.

Chapter 3 Operation Management

Article 6 The operation and management of the key laboratory should be according to the specific requirements of the superior competent department. The key laboratory head is fully responsible for the daily routines of the laboratory, including organizing to prepare the development planning, operation management system and annual work plan, organizing scientific research work, talent team and scientific research condition construction.

Article 7 The head of the key laboratory should be a high-level academic leader in his/her field, with strong organizational and management ability, and generally not more than 60 years old. His/her appointment should be submitted to the superior competent department for the filing.

Article 8 The Academic Committee is the academic guiding body of the key laboratory, whose responsibilities are reviewing the goal positioning, research direction, development planning, open research topics, major academic activities, annual work plans and summaries of the key laboratory. The head of the Academic Committee is generally held by experts from other unit, and the number of members from the SIAT should not exceed 1/3 of total.

Article 9 The key laboratory is composed of regular and mobile personnel. The regular personnel include researchers, technicians and managers, while the mobile personnel include visiting scholars, post-doctoral researchers and graduate students. The scale and structure of personnel should be kept reasonable and orderly flow should be promoted.

Key laboratories should value the construction of academic echelons, especially pay attention to supporting young scientific and technological personnel, stabilize high-level technical teams, and strengthen graduate student cultivation.

Article 10 Key laboratories should increase the intensity of opening up and actively carry out international scientific and technological cooperation and exchanges. They should establish a visiting scholar system, and attract high-level researchers at home and abroad to carry out cooperative research in the laboratories by opening up research topics or other approaches.

Article 11 The key laboratory should ensure the efficient operation, openness and sharing of scientific research instruments, and implement data sharing according to the relevant regulations and requirements of the superior competent department.

Article 12 The key laboratories should strengthen the protection of intellectual property rights. The monographs, papers, software, databases and other research results completed by the key laboratory should be marked with the name of the key laboratory, and the patent application, transfer of technical achievements, reward declarations should be handled according to the relevant regulations of the state.

Article 13 If an key laboratory needs to change its name or the research direction, make structural adjustment and restructuring, etc., a written report should be submitted by the research institute and forward to the superior competent department for approval by the Department of Science & Technology Development after demonstration by the Academic Committee the review by the Department of Science & Technology Development.

Chapter 4 Assessment and Evaluation

Article 14 If the superior competent department requires the submission of the annual work summary report (annual reports and evaluation materials) work plan for the next year, the key laboratory should complete the materials before the prescribed time, and submit them to the superior competent department after reviewed by the Department of Science & Technology Development.

Article 15 To better understand the development status and existing problems of the laboratories, supervise and motivate them, the SIAT assesses and evaluates each key laboratory by grade and field every two years, and gives appropriate rewards and punishments according to the assessment results, including: increasing support for research institutes, priority recommendation of laboratory promotion, priority recommendation of limited competitive project declaration, etc. (Key laboratories explicitly required, by the superior competent department, to accept assessment and evaluation every year should follow this)

Article 16 The assessment and evaluation content for key laboratories is mainly a comprehensive evaluation of their overall operating status, including: research level and contribution, team construction and personnel training, development and exchange and operation management.

Chapter 5 Bylaw

Article 17 The English and Chinese names of the key laboratories should be used according to the requirements of the superior competent department. For example, National Key Laboratory of XX (XX 国家重点实验室); CAS Key Laboratory of XX (中国科学院 XX 重点实验室); Guangdong Province Key Laboratory of XX (广东省 XX 重点实验室); Shenzhen Key Laboratory of XX (深圳市 XX 重点实验室).

Article 18 The relevant personnel of the key laboratories should abide by these measures and the relevant management system. Each laboratory may formulate specific internal rules and regulations based on these measures.

Article 19 Matters not covered should be carried out according to the administrative measures of the key laboratory construction and operation of the superior competent department.

Article 20 The Department of Science & Technology Development of SIAT shall be responsible for the interpretation of these Measures, which shall come into force as of the date of promulgation.

Attachment

Key Laboratory Evaluation Index System

Index	Weight	Key point
Research level and contribution	50%	1. Positioning, research direction: Clear positioning, distinctive characteristics; research direction is clear and concentrated, and the research content has strong systematic correlation. 2. Important tasks undertaken at the national, provincial and local levels: The tasks undertaken should meet the academic research direction of the laboratory and be able to undertake major tasks at the national, provincial and local levels in the field. 3. Representative research achievement level: In the main research direction of the laboratory, the important scientific research achievements are mainly produced by the regular members of the laboratory based on the laboratory. Representative achievements should focus on the systematic, high level, influence of the work. Emphasis will be placed on examining the academic influence at home and abroad, contributions to socio-economic development and major national and local needs, and input-output ratios.

Team construction and talent cultivation	30%	1. The role of laboratory head and academic leader: The laboratory head should be an excellent leader in the field of his/her discipline, who is able to insight into the current situation and trend of development at home and abroad, and play a leading role in the construction and development of the laboratory. 2. Team structure construction: An key laboratory should have a high-quality fixed personnel team, including a number of academic backbone and a certain scale of high-quality young and middle-aged researchers and stable management personnel, laboratory personnel should be happy to unite and cooperate, with a good style of study. The academic backbone of the laboratory works in the main research direction and is the main

		primary investigator of the representative achievements. 3. Training of young backbone talents and graduate students: With effective measures and good performance to attract, train and stabilize academic successors and outstanding young and middle-aged researchers; be able to train graduate students with good scientific quality and scientific research ability.
Open exchange and operation management	20%	1. Academic exchange: Carry out high-level and substantive academic exchanges at home and abroad, and value attracting first-class scholars at home and abroad to carry out academic exchanges in the laboratory; actively undertake international, regional and national academic conferences. 2. Open research topic setting and effectiveness: Set up open research topics around the main research directions, and more than 5 - 10% ofthe operating expenses are used for cooperation and exchange, and open research topics. 3. Instruments and equipment use and sharing: The laboratory equipment can better meet the needs of the work, and large instruments and equipment have high openness and sharing degree. 4. Science Dissemination: Dissemination of scientific knowledge and access to the public. The laboratory carries out scientific knowledge dissemination and it is open to the public, especially students.

		5. Operation and management: The laboratory has established a good management mechanism and operation mechanism, the laboratory rules and regulations are sound, and the daily management is scientific and orderly. The responsibilities to positions are clear, and the research data are complete.