

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

SYRJ ZI [2018] No. 110

Notice of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Issuing the *Management Measures for Provincial and Municipal Innovation Team Project*

All units (department) of the SIAT:

The *Management Measures of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences for Provincial and Municipal Innovation Team Project* has been deliberated and approved by the 3rd Institute Administrative Affairs Meeting of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences in 2018, and are now issued for implementation.

Shenzhen Institute of Advanced
Technology, Chinese Academy of
Sciences

November 13, 2018

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

**Management Measures for Provincial and Municipal
Innovation Team Project**

Chapter 1 General

Article 1 In order to standardize and optimize the provincial and municipal talent team project management services undertaken by the Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences (SIAT) to ensure and promote the smooth implementation of the project, in accordance with the relevant provisions of the *"Pearl River Talents Plan" for the Introduction of Innovative and Entrepreneurial Team Administration & Service Measures (Trial)* and the *Measures for Withdrawal of Selected Talents from Major Talents Projects in Guangdong Province (Trial)*, and in light of the actual situation of SIAT, these Measures are hereby formulated.

Article 2 These Measures are applicable to the management and service of the innovation teams of "Pearl River Talents Plan" in Guangdong Province and "Peacock Plan" in Shenzhen City by the relevant management functional departments of SIAT and the research departments/units supported by the team. The "government authority" in these Measures refers to the project competent department of the party and government organs.

Chapter 2 Division of Responsibilities

Article 3 To define the rights and responsibilities of talent project management, it is necessary to adhere to the principles of overall planning, departmental collaboration and division of responsibilities.

Article 4 As the leading management department, the Department of Human Resources is responsible for researching talent policies, releasing

information, organizing applications, coordinating project implementation, process management, inspection and acceptance, and filing archives; the Public Finance Department is responsible for project budget and accounting, handling financial reimbursement, fund verification and other related matters, mastering expenditure standards, scope, and fund usage, and is responsible for financial management work such as mid-term assessment and final acceptance; the Department of Science & Technology Development is responsible for the acceptance of scientific research achievements, procurement and demonstration of major equipment and technical services, and assisting in the management of project scientific research progress; and the Operating Management Office is responsible for the transfer and transformation of intellectual property rights, project incubation, and management of shareholding companies involved in the project implementation process.

According to the needs of the work, other functional departments supervise, manage and support the provincial and municipal team projects according to their responsibilities.

Article 5 The institute fulfills the responsibility of unified management, and manages and serves the team projects introduced by the institute. In addition, the institute also assists the Department of Human Resources in organizing the project application of the team of the institute, carrying out daily project management approval, mid-term assessment and final acceptance, and providing support for the smooth completion of project tasks.

Article 6 As the main body of talent introduction, the research unit is mainly responsible for the arrival of team members, the use of funds and the promotion of projects, standardizing the use of project funds according to relevant regulations, ensuring the smooth completion of project tasks, and timely discovering, reporting and solving the problems existing in team implementation.

If the team organization involves more than two research units/departments, the unit/department of the team leader and the executive leader shall lead the team management work, and other units/departments shall participate in the team management.

Article 7 As the first person responsible for project execution, the team leader and execution leader should fulfill the contract agreement, properly carry out project planning and organization, ensure the working time in the institute, actively cooperate with government authorities at all levels to properly carry out supervision and management, so as to ensure the smooth completion of project tasks.

Chapter 3 Application Management

Article 8 SIAT encourages research units to introduce innovative teams with international competitiveness based on actual needs. The planning and organization of innovation teams in research units should meet the requirements of project declaration guidelines, strictly plan the composition of team members, scientific research tasks, budget and other contents, and preliminarily fill in the application form.

Article 9 Interview. The Department of Human Resources shall organize an interview with the team leader and core members, and the person in charge of the talent introduction unit/department shall participate in the interview. The interview is mainly to communicate the deep plan and scientific research tasks, to clarify the requirements of the post, and to conduct the risk assessment of talent introduction. Team leaders and core members who judge that they can meet the requirements according to the benchmarking policy shall sign a work commitment agreement with the Department of Human Resources and participate in the team as formal members. Where the composition of the personnel signing the agreement does not meet the requirements for application, the application shall be postponed.

Article 10 Demonstration. The institute takes the lead in organizing a demonstration meeting to evaluate the feasibility of the task indicators of the project application scheme of the Institute and put forward suggestions for improving the application. The demonstration experts shall include the person in charge of the research institute, the chairman of the supporting unit, the experts in the same field, the Department of Science & Technology Development, and the Department of Human Resources. Industrialization teams also should invite the Operating Management Office to attend the meeting to demonstrate the industrial indicators. The team should improve the declaration plan according to the report comments issued by the demonstration meeting. Where the demonstration fails or the formal examination finds that the team fails to modify the declaration according to the comments of the demonstration report, the application shall be postponed.

Article 11 When applying for a team project, a reasonable budget should be prepared according to the policy requirements and the actual needs of the project, combined with the actual situation of the supporting unit, and submitted to the Public Finance Department for review before it can be formally filled in.

Article 12 Where the team has a cooperative unit, it should consult with the institute and relevant functional departments before the application, clarify the rights and responsibilities in the process of project implementation, and sign a cooperation agreement.

Chapter 4 Execution Management

Article 13 The project contract signed after the team is selected as the basis for project service, management and assessment of the team. When signing the contract, team members who have not yet joined should develop a work plan for coming to the institute, and in principle, relevant proof materials should be provided: full-time personnel should provide a resignation certificate/academic leave certificate issued by their former employers (the leave time should meet the requirements of the government regulatory department); and part-time members should provide a certificate of consent from their units (the part-time period meets the requirements of the government authority). The personnel in place shall promise to work in the institute until the completion of the project.

Article 14 After the team contract is signed, a team start-up meeting shall be held within 6 months to discuss the project implementation plan, project management system, personnel in place plan, major equipment procurement and other matters, and to clarify the responsibilities and powers of team management.

During the implementation period, the team shall convene at least one team work meeting per year, with the participation of relevant functional departments, research institute and unit leaders, team leaders, and core members, to check the completion progress and strengthen operational risk control.

Article 15 The approved project contract amount of the team can be included in the assessment tasks of the supporting research unit at once, or can be included in the assessment tasks on an annual average based on the actual situation of the unit. The performance of the team project funds received shall be withdrawn and distributed on average according to the implementation year; and before granting the individual subsidy, the team leader must sign the relevant management agreement in the institute, and according to the allocation of the team project funds to the account, the average annual payment shall be made.

Article 16 A real-time feedback mechanism for project management shall be established in accordance with the requirements of government authorities. Where the team encounters difficulties in the arrival of leaders/core members and the completion of contract tasks and indicators, it shall report the situation to the Department of Human Resources within one month and put forward preliminary solutions. After communication with the government authority, the Department of Human Resources shall implement the opinions of the government authority.

Article 17 The team should complete all tasks according to the contract content, and core members, project research content, expected goals, and budget should not be changed in principle. If the project needs to be adjusted due to objective reasons, the research institute, the research unit and the team shall cooperate with the relevant functional departments to organize the demonstration to confirm that the change meets the policy requirements, ensuring objective and scientific reasons and reasonable and feasible change.

After the demonstration is passed, the team and research unit shall submit a change request, which shall be reviewed by the research institute and relevant departments and approved by the business principal leaders of the institute of the change matter. Where there is support for changes within the institute, it shall be submitted to the government authority for discussion and approval.

Article 18 Where the team encounters significant difficulties in completing the project or when the leader/more than half of the core members cannot be on duty and cannot be changed, funding expenditures will be suspended. After being studied by the Director Office Meeting, it will be reported to the government authority and handled according to relevant comments. Where there is a situation where core members of the team are unable to be in place, the overall budget execution rate shall be controlled to 60% before personnel are appointed or changes are approved. Where the number of leaders or full-time members on duty is less than 60% of the contract before the mid-term assessment, the budget execution rate shall be controlled at 75%.

According to the requirements of the competent department, when the team project is completed, the project budget should be maintained at a balance of 15% in principle.

Article 19 According to the requirements of the government authority, the team is required to submit an annual report on the team's performance. If the implementation report is not passed, rectification shall be carried out in accordance with the requirements, and if the actual problems are not solved within six months of rectification, the use of funds shall be temporarily suspended until the rectification is completed. If the rectification is not completed within one year, it will lead to the failure to conclude the project, and the proposal for termination shall be submitted to the Director Office Meeting.

The institute organizes a seminar on team building of the whole institute every year to assess the progress of team implementation and summarize the experience and lessons of team management. The Department of Human Resources will make a special report to the Director Office Meeting after the meeting.

Article 20 If the team has a cooperative unit, it should sign a cooperation agreement with SIAT in advance to clarify the allocation of financial funds, the implementation of supporting funds, the responsibility of project tasks, the rights and obligations of both parties, etc. During the implementation period of the team project, the "external collaboration fee" can be paid, and the related expenditure should meet the requirements of the use and management of scientific research funds, assessment and acceptance.

Chapter 5 Mid-term Assessment and Final Acceptance

Article 21 The team project will undergo mid-term assessment and final acceptance, which will be organized and implemented by the government authority. Various departments of the institute will cooperate according to their responsibilities. Generally speaking, the mid-term inspection shall be carried out after the expiration of the three-year project implementation period, and the final acceptance shall be carried out after the expiration of the project implementation period. The assessment is mainly based on the project contract, aiming at the progress of the project, the availability of members, the use of funds and other contents.

Article 22 The team shall prepare corresponding supporting materials for the completion of the project, the significant progress made, the availability of members, and the use of funds, among which the completion of technical indicators shall be supported by an objective third-party test/inspection report. The review team of the research unit shall submit the assessment materials and be responsible for the authenticity and accuracy.

Article 23 Teams with qualified and above comprehensive evaluation in the mid-term assessment will be allocated the second phase of funds by the government. Teams that fail the comprehensive evaluation in the mid-term assessment should implement rectification in accordance with the requirements of the government authority. If the rectification still fails, the project will be terminated by the government authority.

Article 24 Teams with qualified and above comprehensive evaluation of final acceptance shall pass the final acceptance, and the project balance funds shall be implemented in accordance with the relevant measures of the institute. Teams with excellent and good final acceptance will be notified and praised, and team members will give priority to recommending and applying major national and provincial talent projects.

The team that fails the comprehensive evaluation of the final acceptance shall rectify or terminate the project in accordance with the requirements of the government authority.

Chapter 6 Project Termination

Article 25 In case of any of the following situations during the execution of a team project, the team, supporting unit, or the Department of Human Resources must report to the main leaders of the party and government of the institute within one month of the occurrence of the situation. After the consultation of all parties, the Department of Human Resources shall report to the Director Office Meeting to decide whether to propose termination:

(I) Before the mid-term inspection, the working days of team leaders and core members in the institute are less than 50% of the contract, and cannot be supplemented;

(II) The team project task cannot be completed, and the annual implementation report has not been approved by the competent department, and the rectification has not been completed within one year, resulting in the failure to conclude the project;

(III) The project leader applies for termination;

(IV) Other circumstances that should terminate the contract, such as failing to pass the mid-term assessment, failing to pass the mid-term rectification, and academic misconduct.

Article 26 Where the project is terminated or the conclusion is not qualified, the team leader and the executive leader shall be disqualified in principle, and the financial support funds for the project shall be recovered and returned from the remaining funds of the project. According to the management principle of the research center system of SIAT, if the remaining funds of the project are insufficient to be returned, the research unit shall be responsible for raising funds.

For those who cause significant losses to the interests of SIAT, the annual evaluation qualifications of the head of the supporting unit center, team leader, core members, and executive leader may be cancelled depending on the specific situation.

Chapter 7 Bylaw

Article 27 Matters not covered in the process of team project management shall be handled in accordance with the Institute's vertical project management regulations, research project fund management regulations, and scientific research archive archiving specifications.

Article 28 The team project achieved results and the working hours in the institute shall be defined in accordance with government authority's documents. Where there are changes in government authority's documents that conflict with these Measures, they shall be executed in accordance with government authority's documents.

Article 29 These Measures shall come into effect from the date of publication and shall be interpreted by the Division of Human Resources. In the research team, teams approved within one year shall be executed in accordance with these Measures, and teams with contracts executed for no more than three years shall be executed in accordance with these Measures.

Public Finance Department of Shenzhen Institute of Advanced Technology,
Chinese Academy of Sciences

Issued on December 7, 2018
