

Management System of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Multiple Unit Cooperation in Scientific Research Projects (Trial)

Chapter 1 General

Article 1 To strengthen the management of scientific research project archival management of multiple institute cooperation, ensure the systematicity, completeness, accuracy, security and usability of scientific research project archives, these Measures are formulated in accordance with the provisions and requirements of the Archives Law of the People's Republic of China and the Regulations on the Management of Archives for National Major Science and Technology Projects, combined with the management characteristics of the unit.

Article 2 These Measures apply to all levels of task units involved in scientific research projects, research topics, sub topics, etc.

Chapter 2 Basic Principles and Requirements

Article 3 Basic principles:

(I) Adhere to the principle of combining unified leadership and hierarchical management, and implement a management system of hierarchical responsibility and integration of unified and decentralized management for major scientific research project competent department, supporting units and cooperative units.

(II) Establish a level by level inspection and acceptance mechanism for the scientific research project competent departments (National Natural Science Foundation of China), supporting units (Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences), and cooperative units, and regularly supervise and inspect the archival management according to the main progress stages of scientific research projects.

Article 2 Basic requirements:

(I) Scientific research and archiving work shall be managed in a "four synchronous" manner: The issuance of planned tasks shall be synchronized with the archiving requirements for scientific research archives; the progress of inspection plans shall be synchronized with the formation of scientific research archives; the acceptance and appraisal of scientific research achievements shall be synchronized with the acceptance and appraisal of scientific research archives; the registration and evaluation of rewards for scientific and technological achievements, as well as the promotion and assessment of scientific and technological personnel, shall be synchronized with the proof of archiving issued by the archives department.

(II) If the scientific research archives are not archived or do not meet the requirements, the achievements will not be declared and rectification will be required according to regulations. If the rectification still does not meet the standards, the project/research topic funding will be frozen by the supporting unit.

(III) The evaluation of scientific and technological achievements and the promotion assessment of scientific and technological personnel. The Division of Science & Technology Development shall provide proof of the archiving status of scientific research archives for research projects, and the Comprehensive Archives Room shall provide proof of the archiving status of scientific research archives for archived research topics. Otherwise, the application for evaluation and promotion assessment shall not be made.

Chapter 3 Organizational Management and Responsibilities

Article 3 The archives of scientific research projects collaborated by multiple units are included in the project management procedure, and the management of the archiving process is an important component of project management. The management of archives shall run through the entire process of scheme formulation, argumentation, implementation, delivery and acceptance, and be included in the evaluation and acceptance of project (research topic) completion.

Article 4 The archives of scientific research projects collaborated by multiple units shall be established by the project competent department in conjunction with the project supporting unit, and shall be archived and managed by the archives department of the supporting unit (Shenzhen Institute of Advanced Technology); each

cooperative research unit shall carry out the management of scientific research project archives in accordance with these Measures, and cooperate in the supervision, inspection and guidance of the supporting units.

Article 5 The management of scientific research project archives follows the principle of unified leadership and hierarchical management. The archive management organization is composed of the project competent department, supporting unit and cooperative units (business department and archive department).

Article 6 Main responsibilities of the supporting unit:

(I) Be responsible for determining the scope of archiving for scientific research project archives, developing and implementing standards, norms and systems related to archive management for scientific research projects, and overseeing the entire archive formation process.

(II) Be responsible for establishing a scientific research project archive management network, establishing work channels with various cooperative units, coordinating and supervising the archive management of each cooperative unit in the project, and ensuring the completeness and unity of project archive management.

(III) Be responsible for collecting, organizing and archiving files and materials generated during the implementation process of scientific research project initiation, planning, and signing of task books at all levels, supervision and inspection, and acceptance.

(IV) Be responsible for organizing relevant personnel to conduct value appraisal on scientific research project files and materials.

(VI) Be responsible for supervising, inspecting and guiding the archive business management of each cooperative unit, and implementing archive requirements.

(VII) Be responsible for timely informing the comprehensive archives of the supportive unit of the project progress, and notifying the Comprehensive Archives Room and full-time and part-time archivists of scientific research projects to participate in important meetings, major activities, mid-term inspections, and final acceptance of the project organization and implementation.

(VIII) Be responsible for organizing self inspection, mid-term inspection, final acceptance, and rectification of project archives.

Article 7 Main responsibilities of the Comprehensive Archives Room of the supporting unit:

(I) Collaborate with the project team to develop archive management measures, norms and standards, and establish the scope and classification of project archives.

(II) Supervise, inspect and guide the formation and accumulation of files and materials in various archive departments.

(III) Implement the collection, organization, appraisal, storage, utilization and statistical work of archiving work.

(IV) Participate in project archive acceptance and accept the acceptance of the project and project archives by the superior competent department.

(V) Ensure the security and confidentiality of digital archives formed by scientific research projects by ensuring their backup.

Article 8 Each cooperative unit is responsible for the archive management of the projects, research topics, and sub topics (hereinafter collectively referred to as "research topics") undertaken by their respective units. The cooperative units shall establish a sound Archive Management System of research topics, establish a clearly defined archive management organization with clear hierarchy, responsibility system, and work procedures; designate a dedicated person to be responsible for collecting, organizing and managing project files and materials; incorporate archiving work into the project management procedure, implement synchronous management with research topic implementation, and conduct synchronous acceptance with the research topic; include the completion of archiving work in the scope of project acceptance evaluation. Main responsibilities:

(I) Be responsible for the centralized and unified management of the research topic archives undertaken by the unit, and responsible for the authenticity and completeness of the archives.

(II) Be responsible for the safe and reliable storage of archives formed by the research topic in accordance with relevant technical standards and management requirements of the country and the Chinese Academy of Sciences.

(III) Be responsible for establishing a research topic archive information database, effectively maintaining digital information and digital devices, preventing data information loss, and transferring archives (including all directory lists and some digital and physical archives) to supporting units before project acceptance in accordance with relevant regulations.

Chapter 4 File Archiving and Organization

Article 9 The archiving content of scientific research project archives must comply with the relevant systems and norms of scientific research archive management, including the files and materials generated during the preparation and demonstration stage of the implementation plan, the organization and implementation stage, and the delivery and acceptance stage. For the archiving scope and retention period of scientific research project files of multiple unit cooperation, see *the Table of Archiving Scope and Retention Period of Scientific Research Archives of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences*.

Article 10 Quality requirements for archived files of scientific research projects:

(I) Archived files shall be original. If the original cannot be obtained, indicate the storage location of the original and indicate that it is a copy.

(II) The carrier and writing and printing materials of files shall meet the requirements of archive protection.

(III) The files shall have a standardized format, clear handwriting, clear patterns, neat charts, and complete signature and approval procedures.

(IV) Photos, audio and video files shall ensure the effectiveness of the carrier, with prominent themes, clear sound and image, clear indexing and standardized description, and meet the requirements of *the Archiving Specifications of Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences on Audiovisual Archives*.

(V) Electronic files shall be truthful, complete and valid, in accordance with *the Specification on Electronic Documents Archiving and Electronic Records Management* (GB/T18894-2016) and relevant national or industry standards and specifications.

Article 11 The archive numbering of scientific research projects and research topics (sub topics) shall follow the principle of archive numbering for scientific research projects. According to the approval files and management practices of scientific research projects, project archives are divided into comprehensive management files (including planning and argumentation files, project initiation files,

organizational management files, financial management files, supervision files, achievement and intellectual property files, final acceptance and post project evaluation files, etc.), scientific research files (including scientific research topic files and process equipment files formed during the organization and implementation of various projects, research topics, and sub topics), instrument and equipment files, audio-visual files, electronic files, and other categories.

Article 12 The organization of scientific research project files follows the principle of "simplifying organization and deepening retrieval", and the main requirements include:

(I) Volume arrangement

The project comprehensive management files are arranged in volumes based on the stages of project initiation, implementation and acceptance.

Project scientific research files shall be arranged in volumes according to the project, research topic (sub topic), stage, etc. When there are many research topic (sub topic) files, they can be arranged in multiple volumes. When there are few research topic (sub topic) files, they can be arranged in one volume. The scientific research topic files are systematically arranged in volumes based on the feasibility study and project initiation, research experiments, summary, appraisal and acceptance, achievement application rewards, achievement promotion and application, and other stages or importance levels of the project; process equipment files are arranged in volumes according to stages or work procedures such as design, manufacturing, acceptance (including accompanying files and materials), installation and commissioning, operation and maintenance.

Standard instruments and equipment directly purchased for scientific research activities, of which a single unit (set) with an original value of 500,000 yuan or more must be archived. If the archiving standard is lower than the above value, the purchasing unit of each project or the instruments and equipment shall determine whether to archive it according to the situation. The instrument and equipment files are arranged in volumes according to the equipment planned procurement, unpacking acceptance (including accompanying files and materials), installation and commissioning, operation and maintenance stages or work procedures.

(II) Cataloging

The dossier cover, the inner file item list, the instruction manual for archiving the research topic file, the preparation form, and the file list shall be established in accordance with the specifications. For each research topic (sub topic), the instruction manual for archiving the research topic file shall be completed, which must be the first file of the first dossier in the research topic (sub topic) archive and entered into the inner file item list. Audio-visual files, electronic files, etc. shall be accompanied by text description, and necessary annotations shall be made on the subject, time, location, person, author, and other contents.

(III) Binding

The files in the dossier can be bound in whole volumes or on a per piece basis, and must be bound with stainless steel nails or thread. The binding process shall ensure the physical integrity and value integrity of the files. Manuscripts, documents, audio-visual materials, and electronic files that are not suitable for binding can be stored in boxes, rolls, bags, or photo albums.

Chapter 5 Process Management

Article 13 Each cooperative research unit must synchronize contract management with archive management during the task implementation process. When the contract is signed, archiving requirements shall be proposed simultaneously; during the contract acceptance, archive acceptance shall be carried out simultaneously, and the archive acceptance situation shall be included in the project acceptance qualification consideration criteria.

Article 14 When cooperative research units organize archives of different carriers formed during project implementation, they shall follow relevant national regulations, standards and norms. The construction of digital archive systems shall comply with public standards to ensure the interactivity and operability of software, hardware and systems.

Article 15 Each cooperative research unit shall strengthen the formation, collection and organization of archives. Files and materials that fall within the scope of archiving must be handed over to the archives department in accordance with regulations, and centralized and unified management must be implemented. No one shall refuse to archive or take possession of them.

Article 16 Each cooperative research unit shall simultaneously establish digital archives while conducting physical archive management, and submit archive catalogs and necessary archives to the supporting units on an annual basis.

Article 17 After the completion of the research topic, the unit responsible for the formation of files and materials shall prepare a list of files and materials (including title, file number, number of pages, confidentiality level, formation time, and responsible person, in triplicate) in accordance with the requirements of archive management. Under the guidance of the archive department of the unit, the collected and organized files and materials shall be archived in a timely manner to ensure complete handover procedures. For projects with longer cycles, a phased and professional approach can be adopted to complete the archiving of files and materials. Each cooperative research unit must submit the research topic archive file list, inner file item list, and necessary archives to the supporting unit one month before the acceptance of the project application.

Article 18 The cooperative research unit shall submit the supplementary and complete research topic archive list to the supporting unit for archiving within three months after the completion of the project acceptance.

Article 19 Each cooperative research unit must strictly abide by confidentiality regulations in the process of organizing and implementing scientific research project archive management.

Chapter 6 Archive Acceptance and Handover

Article 20 At the same time as the research topic acceptance, archive acceptance shall be carried out. The project acceptance can only be carried out after the pre-submitted archive list (file list and inner file item list) of the cooperative research unit and the list of materials transferred and archived to the supporting unit are reviewed and approved by the supporting unit and the Comprehensive Archives Room. If the project acceptance is not carried out or the project acceptance is not qualified, the research topic acceptance cannot be carried out or passed.

Article 21 When the research topic is completed, the cooperative unit shall organize a self inspection of the archives in a timely manner, with the participation of the unit's archives department, and provide review conclusions on the completeness, accuracy, systematicity, effectiveness, and security of the research topic archives, forming a self inspection report.

Article 22 The acceptance methods for research topic archives include holding acceptance meetings, entrusting acceptance, or both parties confirming the list of files and materials. When holding an acceptance meeting for acceptance, an acceptance team shall be established.

Article 23 After the completion of scientific research projects and the acceptance of archives, the cooperative units at all levels of tasks must timely complete the entry of archives in accordance with the relevant regulations and requirements of the Chinese Academy of Sciences.

Chapter 7 Archive Utilization

Article 24 The utilization of scientific research project archives must comply with the confidentiality regulations of the country and relevant units.

Article 25 The supporting units and cooperative units of scientific research projects must sign an agreement on the utilization and sharing of archival information.

Article 26 When borrowing, excerpting and copying scientific research project archives, approval must be obtained from the overall project department office and the archive forming unit in accordance with the archive information sharing agreement, and approval must be obtained from the leadership of the unit. The approval procedures for archive utilization must be handled, and the approval process must be carried out through the above modules; when borrowing, the approval form shall be used as the basis for borrowing before it can be utilized.

Article 27 The utilization of scientific research project archives, changes and decryption of confidentiality levels, identification and destruction procedures of archive value, etc. shall be handled in accordance with relevant national regulations. Without the consent of the project supporting unit, each cooperative unit shall not dispose of scientific research project archives on its own.

Chapter 8 Supervision, Inspection, Rewards and Punishments

Article 28 Each cooperative unit shall strengthen the supervision and inspection of scientific research project archive management, and conduct regular and irregular assessments of archive management.

Article 29 For collectives and individuals who have achieved outstanding results in project archive management, relevant units shall give praise or rewards to express encouragement.

Article 30 When a responsibility accident occurs in the management of scientific research project archives, the responsibility shall be investigated layer by layer in accordance with the leadership responsibility, management responsibility, and direct responsibility of the archive management.

Chapter 9 Bylaw

Article 31 This System is interpreted by Shenzhen Institute of Advanced Technology, Chinese Academy of Sciences.