Shenzhen Technology University Document

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Notice on Issuance of the "Shenzhen Technology University Large-scale Scientific Research Instruments Open Sharing Guidelines"

To all units of the university:

The "Shenzhen Technology University Large-scale Scientific Research Instruments Open Sharing Guidelines" is hereby issued to you. Please follow and implement these measures accordingly.

This notice is hereby issued.

Shenzhen Technology University

January 10, 2024

Shenzhen Technology University Large-scale Scientific Research Instruments Open Sharing Guidelines

Chapter 1 General Provisions

1 In order to fully utilize the existing large-scale scientific research instruments of the university, achieve resource sharing, reduce redundant purchases, and improve usage efficiency, these guidelines are formulated in accordance with relevant national and local laws and regulations and based on the actual situation of our university.

2 Scope of Open Sharing of Large-Scale Scientific Research Instruments:

(1) Scientific research instruments and equipment with a single unit (set) price of 500,000 yuan (inclusive) or above, used for scientific research and technological development activities, shall be compulsorily included in the sharing service scope.

(2) Large-scale scientific research instruments with a single unit (set) price between 100,000 yuan (inclusive) and 500,000 yuan are encouraged to be included in the sharing service scope, especially those with strong versatility and wide service coverage.

(3) Instruments and equipment that cannot be included in the open sharing scope due to special circumstances shall be proposed by the equipment management unit for approval by the State-owned Assets and Laboratory Management Development Department.

(4) Confidential instruments and equipment shall be managed in accordance with relevant confidentiality regulations.

3 The open sharing of large-scale scientific research instruments shall follow the principles of “specialized management, resource sharing, and paid services.” Equipment management units should prioritize the use of existing instruments and equipment within the university. When purchasing new scientific research instruments, a duplication check should be requested from the municipal Science and Technology Innovation Committee before or during the feasibility study phase to avoid redundant purchases. The equipment management units, while fulfilling their own teaching and research tasks, should actively provide open sharing services to the university and society, promote inter-departmental and inter-university collaboration services such as consulting, training, and analysis testing, and strive to improve the usage efficiency of large-scale scientific research instruments.

4 To ensure the smooth implementation of the open sharing of large-scale scientific research instruments, each unit should establish a professional experimental technical service team and formulate assessment and incentive mechanisms for the team members' open service effectiveness, as well as a system for job title promotions and career development.

Chapter 2 Organizational Management

5 Responsibilities of the State-owned Assets and Laboratory Management and Development Department:

(1) Responsible for researching and formulating policies and management systems for the open sharing of large-scale scientific research instruments, organizing the implementation and supervising the work.

(2) Responsible for the construction and management of the shared technical service system and the construction and operation of the shared information system.

(3) Coordinate the university's physical platform planning and construction, organize performance assessments, and implement incentive and restraint policies.

(4) Collect and report data related to the usage of large-scale scientific research instruments; file the charging standards for the open sharing of large-scale scientific research instruments.

6 The Planning and Finance Department shall be responsible for establishing "special account for open sharing and payment of large scientific research instruments" for each unit, and be responsible for the accounting, settlement and distribution management of service income, and supervise the use of service income funds.

7 The Human Resources Department shall cooperate with the introduction and assessment of the open sharing management personnel of large scientific research instruments of all units, and incorporate the open sharing performance of instruments and equipment into the performance assessment content of the unit, the assessment content of management personnel and the conditions of professional title evaluation.

8 Each unit shall be responsible for the organization, construction, operation and management of the open sharing of large own large scientific research instruments. The person in charge of the unit is the first responsible person for the open sharing of large scientific research instruments, and the leader in charge of the laboratory work is the direct person in charge. Responsibilities of each unit:

(1) Formulating the implementation details of the open sharing work for the unit.

(2) Integrating and coordinating large-scale scientific research instruments into various physical platforms, providing

support in team building and conditions required for open sharing services.

(3) Formulating the charging standards for the open sharing of large-scale scientific research instruments and supervising the use of the open sharing service funds.

(4) Completing the work related to entering large-scale scientific research instruments into the network and reporting data via the shared information system.

(5) Responsible for performance assessments of the unit's open sharing of large-scale scientific research instruments.

9 Responsibilities of the Unit's Direct Responsible Person:

(1) Organize the daily management, standard operation, functional development, and shared services of large-scale scientific research instruments.

(2) Oversee the construction of the unit's large-scale scientific research instrument sharing management platform and appoint instrument management personnel for each instrument.

(3) Establish the unit's shared information management platform to improve the usage and management efficiency of large-scale scientific research instruments and enhance the level of open services.

(4) Coordinate the establishment of records for each large-scale scientific research instrument, including purchase justification, procurement contracts, installation and acceptance records, technical documents, operation logs, maintenance records, functional modification records, and disposal records.

(5) Responsible for the daily management, training, performance assessment of instrument management personnel, and establishing corresponding responsibility systems and management methods.

(6) Ensure proper documentation and completion of the statistical and reporting work for shared instrument data.

10 The leader in charge of laboratory work is responsible for organizing the management personnel, technical staff, and graduate students in the unit to carry out the open sharing work.

11 Responsibilities of Instrument Management Personnel:

(1) Formulate and publicly release the usage regulations, operation procedures, approved testing charge items, and charge standards for the instruments they manage, and manage related records.

(2) Schedule open sharing time slots and arrange services for users during the usage process, including pre-use training, debugging, material preparation, supervision, reminders during use, and data organization after use.

(3) Develop and implement daily maintenance plans for the instruments they manage, and ensure the required calibrations or verifications are performed.

(4) Strictly follow operational procedures in using and managing instruments, and provide training and supervision for other users to ensure compliance with requirements.

(5) Maintain proper records for usage, maintenance, and repair, and promptly report management and usage data for large-scale scientific research instruments.

(6) Identify environmental conditions that may affect test results, monitor and control them, and ensure the working

environment meets testing standards and technical specifications.

(7) Master the existing functions of large-scale scientific research instruments and actively develop new functions.

12 As required by teaching and research work, each unit may periodically train experimental technicians and graduate students to serve as part-time instrument administrators. The list of instrument administrators should be submitted by each college to the State-Owned Assets and Laboratory Management Development Department for record-keeping.

Chapter 3 Open and Sharing

13 Each unit should carry out open sharing services for large-scale scientific research instruments in the following ways:

(1) Relying on the "Shenzhen Technology University Instrument Sharing Platform" to carry out the work of open sharing of large scientific research instruments, will be eligible for large scientific research instruments into the unified management of the sharing platform.

(2) Formulate open and shared service mode, service content, service process, charging standards and other working rules for each large-scale scientific research instrument, and timely record the operation and opening of large-scale scientific research instruments.

(3) Within 30 working days from the date of completing the installation and acceptance of large scientific research instruments, the information of large scientific research instruments that meet the opening conditions will publish the service mode, service content, service process and charging standards on the sharing platform in accordance with the unified standards and requirements, and provide online services in real time. Users both inside and outside the school

need to make online reservations through the sharing platform before using the instrument.

(4) Sign a service agreement with the user, agree on the service content, ownership of intellectual property rights, confidentiality requirements, compensation for damages, liability for breach of contract, dispute settlement and other matters, and accept the supervision of the user.

(5) Establish an intellectual property management mechanism to protect the user identity information and the scientific data, technical secrets and intellectual property rights formed in the process of using large-scale scientific research instruments.

The intellectual property rights formed by the users' independent scientific experiments shall be independently owned by the users. For the intellectual property rights formed by the joint scientific experiments of the users and the instrument sharing unit, the two parties shall agree on the ownership or proportion of the intellectual property rights in advance.

14 All units providing open and sharing services shall be responsible for the authenticity and reliability of the results of open services such as analysis and testing.

Chapter 4 Service Charges

15 Units to provide large scientific research instrument sharing services can be charged in accordance with the principles of cost reimbursement and non-profitability. The use of instruments for teaching, instrument training, instrument debugging or function development is, in principle, free of charge.

The charging standards for shared services of large-scale scientific research instruments should be formulated separately for on-campus and off-campus users, and the approval process should

be conducted in accordance with the university’s relevant charging regulations.

16 If the shared service fees are unified by national or provincial pricing authorities, the prescribed fees should be followed. If no unified pricing is set, the charges can be based on related industry standards or local market prices.

17 All units must collect the shared service fees through the "Large-scale Scientific Research Instruments Open Sharing Payment Special Account" established by the Planning and Financial Department, and issue invoices and other receipts to users. Additionally, a detailed charging ledger for each large-scale instrument should be maintained, and regular settlements should be conducted.

18 The shared service fees for large-scale scientific research instruments shall be collected on a "pay-after-service" basis. On-campus users’ shared service fees should be settled regularly, while off-campus users’ fees should be settled per use.

19 Shared service fees should be managed in accordance with the university's income distribution regulations. The retained funds can be used for the operation and maintenance of shared instruments, material purchases, sample processing, personnel training, travel expenses, publicity costs, external service subsidies during non-working hours, and performance incentives for instrument management staff (with personal rewards not exceeding two months' pre-tax basic salary), among other costs related to the development of shared services.

20 The use of funds from large-scale scientific research instrument shared services is subject to supervision and audit by the university's auditing department.

21 University staff are not allowed to use the university’s preferential policies to provide any form of intermediary testing

services to off-campus users. Once discovered, this will be reported to the entire university, and the violators will be charged the off-campus service fee rates for all future shared service usage.

Chapter 5 Assessment, Rewards and Penalties

22 Assessment indicators

Evaluation indicators will be set according to the requirements for evaluating large-scale scientific research instrument open sharing services in Shenzhen City, in combination with the university's specific circumstances. Three primary indicators are established: organizational management, operational use, and the effectiveness of shared services. Seven secondary indicators include: system development, openness rate, experimental team development, operating hours, operational effectiveness, sharing rate, external service effectiveness, and user evaluation. Additional tertiary indicators will be set annually based on needs.

23 Assessment standards

The scoring standard of evaluation is the total score of 100 points, which is divided into four grades: (1) Excellent: the total score is above 90 points (including). (2) Good: the total score is above 75 points (including) to less than 90 points.(3) Qualified: the total score is above 60 points (including) to less than 75 points.(4) Poor: below 60 points.

24 Assessment method

Benefit evaluation and work assessment adopt the combination of unit self-evaluation, school verification and expert evaluation.

(1) Self-evaluation of the units. Each unit shall comprehensively verify, examine, summarize, collect and summarize the relevant materials for the use of large scientific research instruments as the assessment basis, and report the self-

examination results, examination forms and relevant materials to the State-owned Assets and Laboratory Management and Development Department.

(2) School verification. The State-owned Assets and Laboratory Management and Development Department shall make statistics and summarize the assessment results, and conduct on-site verification on the relevant data, supporting materials and self-evaluation of the use benefits of large-scale scientific research instruments reported.

(3) Expert Review. The evaluation is carried out by experts hired by the university, who combine the results of the self-assessment of the unit, the results of field verification and relevant materials to make a comprehensive assessment, verify and rate the assessment forms filled in by the units, and evaluate the level of each unit according to the assessment standards.

(4) Publicity of the results. The State-owned Assets and Laboratory Management and Development Department shall make statistics, summarize and analyze the assessment results of each unit, and publicize them within the whole school, and accept the verification and supervision of all teachers and students. If there is any objection to the assessment result, it should be raised during the publicity period, and the state-owned Assets and Laboratory Management and Development Department will give a reply after verification.

25 All units shall be responsible for the authenticity, reliability and legality of the examination form and relevant materials. If there is any fraud, the relevant units or personnel will be investigated for responsibility.

26 Units that are evaluated as "Excellent" will receive a performance reward of up to 150,000 RMB, and units evaluated as "Good" will receive a performance reward of up to 100,000 RMB. The rewards

will be paid from the shared service revenue submitted to the university and may be used for personnel performance incentives, with the award distribution scheme to be determined by the awarded units.

27 Units that are evaluated as "Poor" must analyze each instrument and provide a rectification plan, with a one-year deadline for improvement. Units failing to improve will face the following measures:

(1) Units with "Poor" evaluations for two consecutive years will have their new instrument purchase budgets reduced.

(2) General instruments with low usage hours, low sharing rates, or long-term idle status may be reassigned or transferred based on the evaluation results.

(3) Units that refuse to rectify, fail to conduct evaluations as required, or provide false data and materials will face disciplinary action, including public reprimands and restrictions on applying for new instruments.

Chapter 6 Supplementary Provisions

28 These regulations will be effective from the date of issuance, with a validity period of 5 years. The State-Owned Assets and Laboratory Management Development Department is responsible for their interpretation. The previous "Shenzhen Technology University Large and Expensive Instrument Open Sharing Management Measures (Trial)" (SZTU [2019] No. 206) is hereby abolished.

Shenzhen Technology University

January 10, 2024

Cc: school leaders, archives room.

The Office of President of Shenzhen Technology University

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