

上海数学与交叉学科研究院 博士后研究人员管理办法 (试行)

Shanghai Institute for Mathematics and Interdisciplinary Sciences Management Measures for Postdoctoral Researchers (for Trial Implementation)

第一章 总则

Chapter I General Provisions

第一条 为规范上海数学与交叉学科研究院(以下简称“研究院”)博士后研究人员的管理工作,吸引、培养和聘用高层次创新型青年人才,根据国务院办公厅、人力资源和社会保障部、全国博士后管理委员会关于博士后工作的相关精神以及《上海市博士后管理工作实施办法》等相关规定,结合研究院实际,制定本办法。

Article 1 In order to regulate the management of postdoctoral researchers at the Shanghai Institute for Mathematics and Interdisciplinary Sciences (hereinafter referred to as “SIMIS”), to attract, cultivate, and employ high-level innovative young talents, and in accordance with the relevant guidelines of the General Office of

the State Council of the People's Republic of China, the Ministry of Human Resources and Social Security of the People's Republic of China, and the China Postdoctoral Council on postdoctoral work, as well as the *Implementation Measures for Postdoctoral Management in Shanghai* and other relevant regulations, and taking into account the actual situation of SIMIS, these measures are hereby formulated.

第二条 本办法所称博士后研究人员（以下简称“博士后”）是根据国家有关政策和研究院发展需要，通过合同聘用招募的科研工作人员。博士后主要依托合作导师领导的研究团队开展科学研究工作，同时根据研究院规定承担必要的教学工作和其它社会服务工作。

Article 2 For the purposes of these measures, postdoctoral researchers (hereinafter referred to as “postdocs”) are scientific research personnel recruited through contractual employment in accordance with relevant national policies and the development needs of SIMIS. Postdocs primarily engage in scientific research within research teams led by their collaborating supervisors, and, in accordance with SIMIS's regulations, also undertake necessary teaching duties and other social service responsibilities.

第三条 本办法所称的博士后管理，是指对符合博士后招收

条件并进入研究院全职工作的全体博士后的管理及相关工作。

Article 3 For the purpose of these measures, “postdoc management” refers to the administration of, and related work concerning, all postdocs who meet the admission requirements and are engaged in full-time work at SIMIS.

第四条 研究院博士后管理工作坚持“公开、平等、竞争、择优”的原则，不断提高质量，逐步扩大规模，使博士后人员成为研究院重要的科技创新力量。

Article 4 The postdoc management of SIMIS adheres to the principles of “openness, equality, competition, and merit-based selection”, with a commitment to continuous improvement in quality and gradual expansion in scale, so as to enable postdocs to become an important force of scientific and technological innovation at SIMIS.

第二章 管理机制

Chapter II Management Mechanism

第五条 博士后的合作导师负责对博士后进行学术指导，包括指导博士后开展科研、了解科研进展、指导学术规范，以及博士后工作评估等。涉及人事、纪律等非学术事务，由研究院协同处理。

Article 5 The collaborating supervisor of a postdoc is

responsible for providing academic guidance, including directing the postdoc's research, monitoring research progress, advising on academic standards, and conducting evaluations of the postdoc's work. Non-academic matters, such as personnel or disciplinary issues, are handled in coordination with SIMIS.

第六条 在站博士后的人事、组织关系及日常管理工作归属研究院。院长办公会研究决定博士后管理工作的重要事项，理事长具有最终决定权。

Article 6 The personnel administration, organizational affiliation, and daily management of in-station postdocs fall under SIMIS. Important matters concerning postdoctoral management are decided by the President's Office meeting, with the Chairman, the SIMIS Board of Governors holding the final decision-making authority.

第三章 博士后的招收

Chapter III Recruitment of Postdocs

第七条 研究院招收的是全职在研究院工作的博士后，在聘用期内与研究院建立唯一人事关系。

Article 7 SIMIS recruits full-time postdocs, who, during the term of appointment, maintain an exclusive employment relationship

with SIMIS.

第八条 申请进站从事博士后研究工作的人员须符合以下条件。

- (一) 拥护社会主义制度，遵守国家法律法规；
- (二) 品学兼优，身体健康，年龄一般在 35 岁以下；
- (三) 获得博士学位不超过 5 年；
- (四) 具有较强的科学研究能力和较高的学术水平，富有敬业精神，能够尽职尽责地完成博士后研究工作任务。

Article 8 Applicants seeking to undertake postdoctoral research at SIMIS must meet the following requirements:

1. Uphold the socialist system and comply with the Constitution and Laws of the People's Republic of China;
2. Demonstrate both integrity and academic excellence, be in good health, and generally be under the age of 35;
3. Have obtained a doctoral degree within the past 5 years;
4. Possess strong scientific research capabilities and a high academic level, display professional dedication, and be able to fulfill the tasks of postdoctoral research conscientiously and responsibly.

第九条 博士后人员招收程序包括发布信息公开招聘、申请材料审查、组织面试、选择合作导师、发放录用通知及体检等。

Article 9 The recruitment process includes public release of information and open recruitment, review of application materials, organization of interviews, selection of a collaborating supervisor, issuance of employment offer, and completing the physical examination.

第十条 申请从事博士后研究工作的人员，应向研究院提出书面申请，提交有关证明材料，由研究院指定的项目负责人或小组对博士后材料进行初审、遴选及组织面试，研究院对申请者的科研能力、学术水平、综合素质等方面进行严格考察，录取结果须经院长办公会审议通过，理事长具有最终决定权。

申请人提交的材料包括但不限于：

- （一）个人简历（含完整连续工作履历）；
- （二）求职信；
- （三）研究计划；
- （四）著作列表；
- （五）代表性著作 1 篇及以上；
- （六）专家推荐信 3 封。

Article 10 Individuals applying to undertake postdoctoral research shall submit a written application to SIMIS along with the required supporting materials. The materials will undergo a preliminary review, selection, and interview organized by the project

leader or group designated by SIMIS. SIMIS will conduct a rigorous assessment of the applicants' research ability, academic level, and overall qualifications. Admission results must be deliberated and approved by the President's Office meeting, with the Chair of the Board holding the final decision-making authority.

The application materials to be submitted by the applicant include, but are not limited to:

1. Curriculum vitae (including a complete and continuous record of employment);
2. Cover letter;
3. Research statement;
4. Publication list;
5. At least one representative publication;
6. Three reference letters from experts.

第十一条 博士后的合作导师应具备的基本条件:

- (一) 全职或兼职在研究院工作, 具有博士生指导能力的研究人员, 且聘期覆盖博士后培养周期;
- (二) 具备招收博士后研究条件 (如研究课题落实)。

Article 11 The basic qualifications required of a postdoc's collaborating supervisor are as follows:

1. Be a full-time or part-time researcher at SIMIS with the

capacity to supervise doctoral students, and whose term of appointment covers the duration of the postdoctoral training period;

2. Possess the necessary conditions for recruiting postdocs (such as having an established research project).

第十二条 博士后合作导师与博士后申请人实行双向选择。

Article 12 The collaborating supervisor and the postdoc applicant shall make selections on a reciprocal basis.

第十三条 博士后进站后，原则上不可更换合作导师和科研项目。

Article 13 In principle, after admission, postdocs may not change collaborating supervisors or research projects.

第四章 博士后的入职和进站管理

Chapter IV Onboarding and Admission Procedures

第十四条 拟录用的博士后在办理入职及进站手续时，须已取得博士学位证书。其中，国外院校毕业人员（含外籍及留学人员）须同时提交经认证的学历学位证明材料。未取得博士学位证书者，不予办理相关手续。

Article 14 At the time of completing the onboarding and admission procedures, prospective postdocs must have already

obtained the doctoral degree certificate. Graduates of foreign institutions (including foreign nationals and returnees from overseas study) must additionally submit certified academic credential documentation. Those who have not obtained the doctoral degree certificate shall not be permitted to complete the relevant procedures.

第十五条 被录用的博士后入职后与研究院签订聘用(劳动)合同,明确双方的权利、义务以及工作期限等事项。被录用的博士后应按要求准备入职材料。

Article 15 Upon onboarding, admitted postdocs shall sign an employment (labor) contract with SIMIS, specifying the rights and obligations of both parties, the term of employment, and other matters. Admitted postdocs shall prepare the required onboarding materials in accordance with the relevant requirements.

第十六条 博士后需通过中国博士后网上办公系统办理进站申请手续。相关手续由研究院人事部协助,按照国家以及科研流动站规定的相关流程进行办理。

Article 16 Postdocs are required to complete their admission procedures via the China Postdoctoral System. The relevant procedures are facilitated by SIMIS's Human Resources Department and processed in accordance with national regulations and the

requirements of the postdoctoral research station.

第五章 博士后的在站管理

Chapter V In-Station Management

第十七条 博士后在站工作期限原则上为 2 年，期满须按规定办理出站手续。符合下列条件之一者，经本人申请及研究院审核批准，可延长在站期限 1 年，累计在站时间不得超过 3 年：

（一）承担国家级科研项目（课题）且研究工作处于关键阶段，需持续开展实验或成果转化；

（二）在站期间取得突破性研究成果，需在站完成成果验证或后续研究；

（三）研究院认定的其他特殊事由。

Article 17 The standard in-station period for postdocs shall, in principle, be 2 years. Upon expiration, exit procedures must be completed as required. Postdocs who meet one of the following conditions may apply for a one-year extension upon approval by SIMIS; the total in-station period may not exceed three years:

1. The postdoc is leading a national-level research project (or sub-project) at a critical stage requiring continued experiments or technology transfer;

2. The postdoc has achieved breakthrough research results during the in-station period and requires on-site validation or follow-

up research;

3. Other special circumstances as recognized by SIMIS.

第十八条 博士后在站期间应服从研究院的各项工作安排，遵守研究院的各项规章制度，按要求参加研究院的定期考核。考核采取季度考评与年度考评相结合的方式，包括报告提交、专家评审等环节，由科研发展部统筹组织实施。

人事部负责博士后的入职、进站及出站等手续办理；科研发展部负责博士后在站期间的日常管理、考核组织等相关工作。

Article 18 During the in-station period, postdocs shall comply with all assignments and rules and participate in periodic assessments as required by SIMIS. Assessments combine quarterly and annual reviews, including report submission and expert evaluation, and are organized by the Research Development Department.

The Human Resources Department is responsible for the procedures related to the onboarding, admission, and exit of postdocs; the Research Development Department is responsible for daily management and organizing assessments during the in-station period.

第十九条 定期考核内容可包括博士后人员研究方法与路线、任务完成进度、取得的科研成果等，根据考核情况给予综合评价（一般分为合格与不合格）并形成书面材料。对考核不合格的博

士后人员予以劝退或解除聘用合同。

Article 19 Periodic assessments may cover research methodology and approach, task progress, and research outcomes. A comprehensive written evaluation (generally classified as “qualified” or “unqualified”) will be issued. Postdocs assessed as unqualified shall be advised to withdraw or have their employment contract terminated.

第二十条 博士后在站期间必须全职从事博士后科研工作，不得从事兼职或挂职工作。

Article 20 Postdocs must engage full-time in postdoctoral research during the in-station period and may not undertake part-time positions or temporary appointments elsewhere.

第二十一条 博士后要遵守国家有关知识产权的法律法规和研究院有关保护知识产权的规定。涉密人员还应严格遵守研究院有关保密工作的规定。

Article 21 Postdocs shall comply with national laws and regulations on intellectual property (IP) and SIMIS’s IP protection policies. Those with access to classified information must strictly observe SIMIS’s confidentiality requirements.

第二十二条 博士后在站期间，根据研究工作需要，经研究院批准，可以到国外开展合作研究、参加国际学术会议或进行短期学术交流，时间一般不超过 1 个月。若确因合作研究项目需要，可根据项目情况报请研究院批准后可适当延长。

Article 22 Subject to research needs and with Institute approval, postdocs may conduct collaborative research abroad, attend international academic conferences, or engage in short-term academic exchanges, generally not exceeding 1 month. Where necessitated by the requirements of a collaborative research project, an appropriate extension may be granted upon application and approval by SIMIS considering the project circumstances.

第二十三条 博士后应坚持实事求是的科学精神和严谨求实的治学态度，加强学术道德自律，反对学术上弄虚作假的浮躁浮夸作风，坚决抵制学术不端和欺骗行为。

Article 23 Postdocs must adhere to the scientific spirit of seeking truth from facts and maintain a rigorous and practical academic attitude, strengthen self-discipline in academic ethics, oppose impetuous and exaggerated practices of falsification in academic work, and firmly resist academic misconduct and fraudulent behavior.

第二十四条 研究院鼓励博士后积极承担国家重大科技任务

及上海市重点科研项目；鼓励博士后积极申报国家和上海市各类人才计划。

Article 24 SIMIS encourages postdocs to actively undertake major national science and technology tasks as well as key research projects of Shanghai; it also encourages postdocs to actively apply for various national and Shanghai talent programs.

第六章 博士后的退站与出站管理

Chapter VI Exit and Termination Management

第二十五条 博士后工作期满后应按时出站，研究院对拟出站博士后进行出站考核。博士后完成出站研究报告并通过出站考核方可出站。博士后人员从事博士后研究工作累计时间最长不超过 6 年。

Article 25 Upon completion of the postdoctoral term, postdocs shall exit on schedule. SIMIS will conduct exit assessments for postdocs intending to exit. Only upon completing the exit research report and passing the exit assessment may a postdoc formally exit. The cumulative total duration of postdoctoral research work may not exceed six years.

第二十六条 对出站考核合格的博士后人员，由人力资源和社会保障部和全国博士后管理委员会颁发博士后证书。

Article 26 Postdocs who pass the exit assessment shall be awarded a postdoctoral certificate jointly issued by the Ministry of Human Resources and Social Security of the People's Republic of China and the China Postdoctoral Council.

第二十七条 博士后人员具有下列情形之一的，研究院在告知本人或公告后，可予以退站。

- （一）进站半年后仍未取得国家承认的博士学位证书的；
- （二）提供虚假材料获得进站资格的；
- （三）无故不参加研究院组织的年度考核或年度考核连续 2 次不合格者；
- （四）出站考核不合格的；
- （五）严重违反学术道德、弄虚作假，影响恶劣的；
- （六）受到刑事处罚的；
- （七）出国逾期不归超过 30 天的；
- （八）合同（协议）期满，无正当理由不办理出站手续或在站时间超过 6 年的；
- （九）因旷工等行为违反所在单位劳动纪律规定，符合解除劳动合同（协议）情形的；
- （十）其他国家规定适用于退站情况的。

Article 27 Under any of the following circumstances, SIMIS may, upon notifying the individual concerned or by public

announcement, impose dismissal of the postdoc (terminate in-station status):

1. Failing to obtain a nationally recognized doctoral degree certificate within 6 months after admission;
2. Obtaining admission based on falsified materials;
3. Failing without justification to participate in SIMIS' s annual assessment, or being rated unqualified in two consecutive annual assessments;
4. Failing the exit assessment;
5. Committing serious violations of academic ethics or engaging in academic fraud with egregious impact;
6. Being subjected to criminal penalties;
7. Remaining abroad for more than 30 days beyond the approved period without returning;
8. Failing without just cause to complete exit procedures upon contract expiration, or remaining in-station for more than 6 years;
9. Violating the employing unit's labor discipline (e.g., absenteeism) that meets conditions for contract termination;
10. Other circumstances stipulated by the state as grounds for termination of in-station status.

第七章 薪酬与福利待遇

Chapter VII Compensation and Benefits

第二十八条 博士后在站期间的工资标准由研究院确定，一般为年薪制，按照国家有关政策规定缴纳五险一金。

Article 28 The salary standards for postdocs during the in-station period shall be determined by SIMIS, generally under an annual salary system. Social insurance and housing fund shall be made in accordance with relevant national policies.

第八章 附则

Chapter VIII Supplementary Provisions

第二十九条 本办法由院长办公会制订和解释。

Article 29 These measures are formulated and interpreted by the President's Office meeting of SIMIS.

第三十条 本办法自公布之日起执行。

Article 30 These measures shall take effect from the date of promulgation.