

## **Notice of the Ministry of Science and Technology on Call for Proposals for EU-China Inter-governmental S&T Cooperation for Year 2016<sup>1</sup>**

S&T Departments (Commissions, Bureaus) of provinces, autonomous regions, municipalities and cities with independent planning status, S&T administrations of relevant departments of the State Council, relevant entities:

In accordance with the Agreement for Scientific and Technological Cooperation between the Government of the People's Republic of China and the European Community, consensus between the Ministry of Science and Technology and the European Commission Directorate General for Research and Innovation on setting up the EU-China Co-funding Mechanism for research and innovation, and the agreement reached on the 12<sup>th</sup> China-EU Joint Steering Committee on S&T Cooperation, the call for proposals is now published for EU-China inter-governmental S&T cooperation projects for year 2016. Relevant issues are notified as follows:

### **I. Background**

China and the EU are important cooperation partners on Science, Technology and Innovation (STI) cooperation. Through reform, the EU officially launched Horizon 2020 in 2014. China's S&T programme management reform is currently ongoing. During the course of the reform, in order to continuously implement the EU-China S&T Cooperation Agreement, promote and support EU-China STI and industrialisation cooperation, the Chinese Ministry of Science and Technology and the European Commission Directorate General for Research and Innovation reached consensus on setting up the co-funding mechanism for research and innovation, established the guidelines on the co-funding mechanism and reached agreement on the modalities, areas and scale of fund in relation to the call for proposals for EU-China S&T cooperation projects under the co-funding mechanism.

The call aims to support universities, research institutes and enterprises on both sides in carrying out joint R&D on the basis of cooperation already established on topics of common interest and mutual benefit. Project applicants should undertake concrete collaboration with foreign partners in line with the principle of equal cooperation, mutual benefit and reciprocity, result sharing and respect of IPRs. Project proposals submitted should be rooted in development needs, demonstrate complementarity of advantages, technology advancement and innovation.

### **II. Descriptions on the call for project proposals**

#### **(1) Scope of the call for proposals**

In view of the transitional period of the national S&T programme reform, and taking into consideration that the EU's Horizon 2020 was launched at the beginning of 2014, in order to implement the spirit of the reform and the principle of co-funding, according to the aforementioned EU-China S&T cooperation agreement and the consensus reached by both sides, this call for proposals has established two deadlines for submissions of proposals, on 31 March 2016 and 31 July 2016. The scope of the call will cover the following three parts:

The first part covers the Chinese applicants successfully selected in Horizon 2020 Work Programme 2014/2015, for which the proposals should be submitted by 31 March 2016.

---

<sup>1</sup> This English version of the call text including annexes is a translation by EU Delegation to China for reference only and is not meant to serve as official translation of the call itself. Any questions in relation to the call should be addressed to the contacts as provided in the call.

The second part covers the areas open to China in Horizon 2020 Work Programme 2016/2017 whose deadline is prior to 31 March 2016 (in case of Horizon 2020 calls with two-stage deadlines, this deadline covers only those proposals that have passed stage one evaluation and have submitted stage two proposals prior to 31 March 2016).

The third part covers the areas open to China in Horizon 2020 Work Programme 2016/2017 whose deadline is prior to 31 July 2016 (in case of Horizon 2020 calls with two-stage deadlines, this deadline covers only those proposals that have passed stage one evaluation and have submitted stage two proposals prior to 31 July 2016).

The priority areas to be supported in 2016 mainly cover agriculture (including food), biotechnologies, ICT, space, aviation, energy, health, transport, water resources, energy conservation and emission reductions, advanced manufacturing, new materials, sustainable urbanisation, and exchange of young scientists.

## (2) Grants and Duration

In accordance with the bilateral consensus reached by the two governments, the People's Republic of China will grant EU-China S&T Cooperation 200 million RMB in 2016, and the per-project grant should in principle not exceed 5 million RMB.

The project duration should not exceed 3 years in principle.

## **III. Formulation and Submission of Project Proposals**

### (1) Requirements on Proposal Formulation

#### 1. Requirements for Chinese and foreign applicants

a. Chinese and foreign applicants should submit identical project proposals to the Chinese and foreign governmental departments respectively, and the submission to one side should be considered invalid. In view of the transitional period in 2015 under the ongoing reform of the national S&T programme management (special projects, funds, etc.), the S&T administrations on both sides discussed and agreed that the EC side will launch call for proposals prior to the Chinese side.

b. The Chinese applicants should be higher education institutions, research institutes and enterprises with legal person status that are legally established in Chinese territory, equipped with corresponding international cooperation channels and capacities, scientific research conditions and R&D strength.

c. The Chinese and foreign sides should sign project cooperation agreements or letter of intent. Both sides should clarify their contribution and division of work in R&D activities. Proposals that provide relevant certificate on successful selection from foreign partners will be given priority in project approval.

d. While submitting project proposals, Chinese applicants should note clearly the call identifiers as listed in Horizon 2020.

e. It is encouraged that enterprises and academia cooperate with each other and submit project proposals, with enterprises taking the lead.

f. Under the same conditions, state international S&T cooperation bases should be prioritised.

## 2. Requirements for project leaders and major project participants

Project leaders and major project participants should abide by relevant regulations as provided in the Interim Measures on the Management of Project Staff under National S&T Programmes (Guo Ke Fa Ji Zi (2002) 123). Project leaders should not lead more than one national S&T programmes at the same time; major project participants should not participate in or lead more than two national S&T programmes at the same time.

## 3. Intellectual property right requirements

a. Project proposals should include relevant information regarding effective protection of intellectual property right and national security.

b. The cooperation agreement or letter of intent signed by both parties should include intellectual property provisions. Otherwise, both parties are obliged to sign an independent intellectual property agreement.

## 4. Other requirements

Entities that have applied to this project are not allowed to submit proposals of the same topic, submit packaged proposals or apply for grants repeatedly.

### (2) Submission of proposals

1. Proposals should be submitted via a higher level department that takes charge of reference, which includes S&T Departments (Commissions, Bureaus) of provinces, autonomous regions, municipalities and cities with independent planning status, or S&T administrations of relevant departments of the State Council.

2. Please follow the format and requirements of the annexed project proposal. Please do not change the format of the original document and do not create a different form when filling in information. Basic information in the project proposals submitted by the Chinese side should be consistent with that submitted by its foreign cooperation partners.

3. Please fill in the form and submit applications via the application centre of National S&T Management Information System (<http://program.most.gov.cn>). Project proposals submitted online that meet the first deadline will be accepted and processed from the release date of this notice till March 31st, 2016. Project proposals submitted online that meet the second deadline will be accepted and processed from April 1st, 2016 till July 31st, 2016. (For technical issues, please contact: 010-88659000)

After finishing online submission, please send via mail the stamped Recommendation Letter by the recommending department (in paper, 4 copies), Form of Project Proposal Basic Information, and Intergovernmental S&T Cooperation Project Proposal Form (printed directly via the online system, in paper, 4 copies) to China Science and Technology Exchange Centre before 31 March 2016 and before 31 July 2016 (date of mail dispatch) respectively. Please send via mail and on-spot submission will not be accepted.

## IV. Contact information:

(1) Policy issues:

Li Ruiguo, European Division, Department of International Cooperation, Ministry of Science and Technology  
Telephone number: +86 10 58881356  
Email: hzs\_ozc@most.cn

(2) For accepting and processing issues of proposals:

Dong Keqin, European Division, Communication Centre of Science and Technology  
Telephone number: +86 10 68513370  
Email address: dongkq@cstec.org.cn  
Address: 54, Sanlihe Road, Xicheng Districe, Beijing, 100045

(3) Website of the EU "Horizon 2020" Participant Portal:

<http://ec.europa.eu/research/participants/portal/desktop/en/opportunities/index.html>

Annexes:       1. Basic Information of Project Proposal  
                  2. Inter-Governmental Science and Technology Cooperation Project Proposal

Ministry of Science and Technology  
14 December 2015

### Basic Information of Project Proposal

<b>Proposed Project Title</b>	In Chinese:  In English:
<b>Chinese Applicant submitting Project Proposal</b>	In Chinese:  In English:
<b>Person in Charge of Chinese Applicant and contact details</b>	Name:                      Sex:                                      Position: Tel:                              Fax:                                      Mobile: Postal Address:  Zip code:                      Email:
<b>Foreign Partner</b>	In Chinese:  In English
<b>Call identifier, person in charge of foreign project and contact details</b>	Call identifier: Name:                      Sex:                                      Position: Tel:                              Fax:                                      Mobile: Postal Address: Zip code:                      Email:
<b>Main content of research in proposal (no more than 200 characters)</b>	

Annex 2

Project No.: \_\_\_\_\_

Type of Cooperation: inter-governmental S&T cooperation

## **Inter-Governmental Science and Technology Cooperation Project Proposal**

**Project Title:** \_\_\_\_\_

**Institute:** \_\_\_\_\_

**Contact:** \_\_\_\_\_

**Nation:** \_\_\_\_\_

**Proposal recommendation administration:** \_\_\_\_\_

**Date of proposal submission:** \_\_\_\_\_

**Chinese Ministry of Science and Technology**

**September 2015**

## Instructions

(Please read with great care)

1. Inter-governmental Programmes in Science and Technology Cooperation will mainly be utilised to support the International S&T cooperation and exchange activity (including developing converging technologies, cooperative R&D development activity, exporting 'advanced and applicable technology' and facilities), established between China and foreign governments/departments (multilateral mechanism). Projects concerns the industrialisation of specific technologies usually conform to the form 'R&D of the industrialisation of XX technology and facility'.
2. Contents of international cooperation should be highlighted in the regarding sections while filling the project proposal.
3. The proposal should be based on strict facts and be written in precise and clear language. Foreign phrases should be noted with both original and Chinese language. Full name should be given whereas the abbreviation appears in the text for the first time.
4. In the 'project title', key content and objectives of the cooperation should be noted (e.g. 'China-Canada cooperation on key vaccine technology and products research and development' or 'Research on Diagnosis of Major and Emerging Infectious Diseases'). Key problems in S&T to be solved should be noted in the title while opacity should be avoided. In principle, the title shall be written in Chinese within the scope of 25 letters.
5. 'Project R&D type' refers to the category in which applications would fall and it should be selected according to the application system.
6. 'Name of the Inter-Governmental Agreement' refers to the S&T cooperation agreements signed between bilateral or multilateral governmental institutes.
7. 'Project cooperation agreement/intent' refers to the specific agreement signed between bilateral or multilateral parties regarding the project,
8. 'Project Submission Entity' should be China (mainland) based research institutes, universities or enterprises with corporate capacity and sound capacity in research and international cooperation. Governmental authorities may not be nominated as either submission or participation entity. '03 International S&T cooperation base' under 'host of research project' include MOST-awarded International Innovation Park, International Collaboration Research Centre, International Technology Transfer Centre and Demonstrating International S&T cooperation base.
9. 'Principal Investigator' should be the researchers who will take the leading and principal role in launching the research, administrative duties should not be included into the appointment of PIs. Those who have already undertaken the role of PI in previous national basic S&T programmes could still be eligible for applying new projects if and when their old projects were concluded before the year ends. PIs and key participants should albeit to the regulations in *Interim Measures for the Management of Principal Investigators of National Science and Technology Programmes*.
10. 'Foreign Cooperation Partner' should be partners based outside China (mainland) with strong research capability or scientific technology excellence, willing to cooperate

with China. Foreign cooperation partner should not include China-based enterprises or research institutes with foreign capital (which could join as 'other Chinese participant'), and should not be Overseas Chinese-funded enterprises or research institutes, should not be inter-departmental cooperation between domestic and overseas branches of enterprises group. Foreign partner for cooperation should be entities with sound research and development capacity. In case foreign partners were governmental institutes, international organisations, research institutes or higher education institutions, details of the specific department/ faculty must be given; should they be big international corporates, details should be given on the exact subsidiary or R&D centre for cooperation.

11. Expected results and evaluation indicators should be filled without misinterpretation or exaggeration. Once the project passed the evaluation and was officially launched, evaluation indicators in the contract should stay in line with those listed in the project proposal. Achievements included in the acceptance content and evaluation indicators should be of direct relevance with the project itself, which were emerged during the period of research projects. Report or certificate verifying the above stated requirements are a must (for details please see reference to article (16).
12. 'Project objectives' should be a-single-sentence description of key objectives to be achieved within 50 Chinese characters, e.g. Cooperation for the resolution of key solar wind icon detecting technology'; 'Cooperation for resolving key technologies for lunar detection'; ' H1N1 Influenza Vaccine Development' and 'key technology resolutions for hybrid rice genetic research for the purpose of dealing food security issue'.
13. 'Achievement direction' section should be constrained within 100 characters and focus on the industrialisation and application prospects, socio-economic benefits and its overall impact on national security, solving key S&T and bottleneck techniques, enhancing innovation capacity, supporting industrial and local development, for instance: 'Solving technical difficulties of eliminating the risks of gas explosion to ensuring safe mining production'; 'Providing technical support and capacity of designing and manufacturing for the new generation nuclear energy fast reactor', 'Resolving current supply-demand conflict in the current GIS technology, ensuring the National power grid transformation'.
14. 'Project cost need' should be in line with expected results and evaluation indicators. Both the estimate of funding sources and expenditures should be prepared when making the estimate sheet with the given equation: total expenditure estimate=total financing sources estimate. Activities relevant with the pre-research are excluded from the refurbishment and the Estimate should be made with strict accordance to project proposal. Self-owned funds refer to the financing sources other than those of National S&T Programme Special Fund, which may include other governmental financial allocation, self-owned funds by the entity and any other funds available. Item 3 listed in the Certificate of Source of self-financed funds refer to the suggested amount of financing by the submission entity.
15. When writing the 'Expected results and evaluation indicators' under Section V, details should be given with reference to the 'Basic Information Sheet':
  - (1) Quantitative testing indicators and specific technical index should be provided in order to evaluate results where new technology, new product, new equipment or new



materials were concerned. Certificate from qualified third-party Inspection Institution is necessary. (2) Theses submitted as conclusion of the project must be published no earlier than the starting date, monographs must be printed no earlier than the starting date and must note the support gained from the project. (3) Application for patents must either be submitted or authorized after the starting date of the project; (4) applied technical standards must be either authorized or received after the starting date; (5) Talents trained and introduced must be direct participants of the individual projects which should be either with foreign nationality or Chinese nationals who have been working overseas over long-period of time.

16. Project proposals must be submitted via 'National Science and Technology Management System (<https://program.most.gov.cn/>). Academic fields, disciplines and directions should conform to options provided in the system. For confidentiality-concerned projects, please submit hardcopies in confidential form along with confidential classification certificate issued by the submission entity as well as the guarantee of IPRs protection covering the period of international cooperation.
17. Please ensure copies of Cooperation Agreement/Initiatives were enclosed within the submission of project proposals. It will not be processed otherwise.
18. Project proposals need to be officially stamped by the regarding unit and recommendation institute who will be responsible for submitting the documents to China Science and Technology Exchange Centre (CSTEC). Unauthorized proposals will not be processed. The Organisation institute refers to the central/local S&T Management authorities, according to the requirements of inter-governmental S&T cooperation agreements, who are responsible for the coordination and cooperation of project proposals. They can be the regarding DGs of the State Council at central level, and the S&T Commissions at provincial, municipal or autonomous regions' level as well as the relevant central enterprises.

### 1. Project basic information

Project Title							
Project R&D type	01 Basic research; 02 Applied research; 03 Experimental development; 04 Industrialization; 05 Others			Rate of confidentiality	Public, Secret, Confidential, Top Secret		
Name of cooperation agreement							
Signature date		Valid until		Year			
Overall cooperation objectives (can be multiple choices)		01 Implement inter-governmental S&T cooperation agreement; 02 Implement major diplomatic commitments by both sides; 03 Deepen S&T cooperation with major developed countries; 04 Promote coordinated development with neighboring and developing countries; 05 Promote multi-lateral S&T cooperation; 06 In-depth participation in large international science projects and international organizations; 07 Promote cooperation with Hong Kong, Macao and Taiwan; 08 Others					
Concrete cooperative objectives (can be multiple choices)		01 Resolve key technology issues; 02 Fill up technology gap with abroad; 03 Promote staff exchange and introduce excellent international talents; 04 Introduce forecast technologies with great application prospect; 05 introduce key technologies and equipment of national strategic needs; 06 Address difficult or bottleneck issues in national S&T programmes/major projects; 07 Share results of international S&T frontiers; 08 Others					
Cooperation modalities (multiple choices where needed)		01 Joint research; 02 joint demonstration; 03 purchase of whole-set technologies and absorption; 04 purchase of key know-how; 05 introduction of key technology and equipment; 06 joint technology development; 07 recruit experts to work in China; 08 technology training abroad; 09 utilisation of foreign resources; 10 information exchange and technology consultancy; 11 platforms and bases; 12 others					
Project cooperation agreement / intent		Title:					
Project duration		Cooperation country			Continent		
Scope of professional field 1		Discipline 1		Direction 1			
Scope of professional field 2		Discipline 2		Direction 2			
Applicant	Name of applicant entity	Organisational code		Person in charge			
	Type of applicant entity	Place of entity		Affiliated administration			
	Host of project (multiple choices where needed)	01 State labs; 02 State key labs; 03 State international S&T cooperation bases; 04 State engineering and technology research centres; 05 State-level technology centres in enterprises; 06 Open (key) labs of ministries or provinces; 07 MoE 985 innovation bases; 08 Provincial or ministerial-level bases for key disciplines; 09 national engineering labs; 10 others					
	Postal address				Zip code		

	Tel			Fax		
PI	Name		Sex		Date of birth	
	Type of ID		ID number		Position	
	Academic degree		Education Diploma		Professional title	Tel
	Mobile		Email		Fax	
PI	Name		Sex		Date of birth	
	Mobile			Tel		
	Email			Fax		
Opinions of project proposal entity:						
<p>The approval is given to the submission of this proposal upon examination of the content of the proposal and eligibility of the proposal participating staff. According to the requirements set for filling up the form, the content included is authentic and data is correct. If the proposal is approved for funding, this entity will ensure conditions such as human resources, materials and working time needed for implementing the project, strictly abide by relevant regulations of national S&amp;T programmes, and urge the PI and project staff involved as well as project management services of this entity to submit relevant documentations in a timely manner in accordance with the requirements set out in the cooperation agreement.</p>						
Person in charge (seal):			(official stamp of entity)			Date
Other CN applicants	Name of entity		Organisation code			
Foreign cooperation partners	Name of entity and country (in English and Chinese)					
	Person in charge (English)			Professional title		
	Serial number of project					
	Postal address			E-mail		
	Fax			Tel		
Other cooperation partners	Name of entities and countries (in English and Chinese)					
Budget requested	Total budget (in 10,000 RMB)	Budget to be requested from central finance		In 10,000 RMB		

	Self-financed funds: (in 10,000 RMB), including R&D investment from enterprises (in 10,000 RMB)	Other financial allocations (including matching funds from affiliated administrations or localities)	In 10,000 RMB
		Self-owned funds in cash	In 10,000 RMB
		Other funds	In 10,000 RMB

Expected use of foreign resources	Use of foreign funds	In 10,000 RMB (funds invested by foreign side and used under the disposal of the Chinese side)						
	Use of key technologies from foreign side (can be more than one item)		Name of the technology, estimate cost and expenses to be paid to the foreign side (in 10,000 RMB):					
	Use of key equipment from the foreign side (can be more than one items)		Name of equipment, estimate cost and expenses to be paid to the foreign side (in 10,000 RMB):					
	Use of specific resources from the foreign side	Number of species	Number of samples	Quantity of data	Number of drawings	Others (please name):		
Expected acceptance check and examination indicators	Results (multiple)		01 Papers and publications; 02 Research (consultancy) reports; 03 New products (or new biological varieties); 04 New devices; 05 New materials; 06 New techniques (or know-how, modes); 07 Computer software; 08 Talents training; 09 Talent introduction; 10 Technical standards; 11 Construction of bases; 12 Others					
	Import of key technologies	Items	Name of technology					
	Type of technology		01 Software; 02 Computing methods; 03 Models; 04 Patents; 05 Database; 06 Others					
	Level of technology advancement		01 Unique in the world; 02 World lead; 03 Advanced in the world; 04 Lead in China					
	Level of technology maturity		01 Lab results; 02 Pilot test; 03 Industrialised					
	Import of key equipment	sets	Name of equipment					
	Import of specific resources	Number of species	Number of samples	Quantity of data	Number of drawings	Others (please name)		
	Number of papers in key Chinese journals		Number of papers published in international journals			Including number of papers of international joint authorship		
	Number of Chinese publications:				Number of publications in foreign languages:			
Foreign invention patents	Independent items	Domestic invention patents	Independent items	Utility model patent	Independent item	Other patents	Independent items	

		Cooperative: items		Cooperative: items		Cooperative: item		Cooperative: items
Expected technical standards	International standards	Independent items	National standards	Items	Domestic sectorial standards	Items		
		Participating in: items						
Number of other IPRs	Registration of computer software		Design of integrated circuits		Registration of new biological varieties		Others	
	Number of Items:		Number of Items:		Number of Items:		Number of Items:	
	Name:		Name:		Name:		Name:	
Talents training	Post-doc		PhD		Masters		Engineering and technology staff	
Introduction of talents	Total number	Persons with senior professional titles		Post-docs	PhD	Masters		Engineering technology staff
	Total of work in China: in person months				Including work of time in China by persons with senior professional titles in person months			
Ownership of results/IPRs produced from cooperation/introduction	01 Independently produced IPRs; 02 Co-shared IPRs, among which, % owned by Chinese side, and % owned by foreign side (in total 100%); 03 License obtained in China							
Project Brief Introduction								
Project Objectives		Targets:						
Cooperation content, justification, modalities and necessity								
Direction of results								

Project proposal recommendation department		Contact		Tel	
Comments of the project proposal recommendation department:  Examination check has been done for the project proposal. For future project implementation, our department will perform relevant responsibilities and obligations as defined for administrative departments in the inter-governmental S&T cooperation agreement as well as relevant commitments for the implementation of this project proposal.  Person in charge (seal):            (official stamp) Date					

## General Information of the Proposal for the Project (For Chinese Principal Investigator/Project Manager)

Project Title			
Specialty Field			
Financial Support	Apply for RMB Financial Support from the Chinese Side	Foreign Investment: Euro ( € )	
Name of Cooperation Agreement			
Project Duration	From	to	(m/y)

### Proposed Project Manager / Applicant in China

Chinese Applicant			
Principal Investigator/Project Manager			
Address			Zip Code
Telephone Number		Mobile Number	
E-mail		Fax Number	

### Overseas Project Manager / Organization

Overseas Project Organization			
Project Manager		E-mal	Nationality
Address			
Fax Number		Telephone Number	
The objectives and contents of the research project are (maximum 500 words):			



## Project Cost Items Needed

Estimate of funding sources (in 10,000 RMB)		Total sources: in 10,000 RMB		
Funds from central finance to be requested				
Self-financed funds	Other financial allocations (including matching funds from departments or localities)			
	Self-owned funds in cash			
	Other funds			
Funds invested by foreign side (currency funds invested by foreign sides under disposal and use by the Chinese side)				
Expenditures (in 10,000 RMB)		Total expenditure: in 10,000 RMB		
Items	Total	Call funds	Self-finance	Foreign investment
(I) Direct costs				
1. Equipment				
Including: cost for purchasing facilities				
2. Materials				
3. Test, analysis and processing				
4. Fuels				
5. Technology import				
6. Missions (domestic missions)				
7. Conferences				
8. Cooperation and Exchanges				
Missions abroad by Chinese staff				
Missions in China by overseas experts				
9. Publications / literature / information dissemination / IPR issues				
10. Service charges				
Domestic staff				
Overseas experts				
11. Expert consultancies				
Domestic experts				
Overseas experts				
12. Others				
(二) Indirect cost				
Including: performance expenditure				

Note: 1. "Other costs" are items of expenses that incurred during the course of project implementation surrounding introduction of key technologies and excellent talents but cannot be listed in the above categories. The call budget strictly controls expenses on other costs with strengthened auditing and supervision. For cases in definite need, post-subsidies will be provided in principle, and relevant procedures shall be followed in accordance with budgetary adjustment.

2. Where there are "self-financed funds" in sources of funds, certificates on funding sources shall be provided.

3. Indirect cost will be calculated in proportional deduction of extra expenses of various ranges and will be kept under ceiling of a total amount. It will be checked and approved based on the following ratio which shall not exceed that of the amount after deducting equipment purchase expense in the direct cost of project budget:

Not exceeding 20% for the range under 5 million RMB inclusive;

Not exceeding 13% for the range between 5 million RMB and 10 million RMB;

Not exceeding 10% for the range above 10 million RMB

The performance expenditure in indirect costs shall not exceed 5% of the amount after deducting equipment purchase cost from the direct cost.

**Certificate**  
**Source of Self-financed Funds**

(Please fill up the parts separately if self-financed funds come from different sources or entities)

If the project proposal is approved, (full name of the entity), provides for \_\_\_ project, 10,000 RMB of self-financed/matching funds, sourced from \_\_\_ (1. allocation by other national finances 2. Local financial allocation 3. Funds from project undertaking entities 4. Funds from other sources).

Self-financed funds are mainly used for: \_\_ (List detailed items of expenditure)

The above is hereby certified.

Funding Entity (stamped)

Date, month, year

1. Estimate of total project budget, requested budget from central finance and explanations
2. Description on investment from foreign partners (funds, key technologies, devices and equipment, resources etc.)
3. Information on funds self-financed by Chinese project participants and matching funds provided by departments (localities)
4. Explanations where needed on costs to be requested for purchasing large devices and facilities, importing technologies, and service charges
5. Justifications and explanations where needed on "any other costs" to be requested

## **I. Justification for cooperation**

### **1. Cooperation background, importance and necessity**

(Include status of cooperation at home and abroad as well as development trend, strategic significance and necessity of the project cooperation in support of S&T diplomacy, state security, S&T breakthroughs, economic and social development, reasons of selection of foreign partners and their critical roles in projects)

### **2. Complementarity of advantages in cooperation**

(Indicate the S&T advantages of all participants and the key technologies needed by Chinese side as well as results for application, frontier theories or professional talents, technology, natural or market resources)

**3. If similar research already exists at home and abroad, please compare and explain respective levels, advantages, features or differences.**

## **II、 Cooperation foundation and capacities**

### **1. Cooperation foundation**

(Indicate if participants have favourable mutual trust and channels for cooperation, if efficient cooperation and exchanges have already been conducted, with a focus on previous cooperation and exchanges targeted at the scope of this project in terms of frameworks, conditions and mechanisms of cooperation.)

### **2. Feasibility for Cooperation**

(Briefly present the cooperation feasibility in relation to specific collaboration relations, talents, technologies, funds and organisation to ensure smooth project implementation for expected objectives)

### **3. Cooperation capacity of Chinese side**

(Include brief info on the Chinese partners in terms of capacities on production, research and education as well as cooperation experiences and channels; professional titles of project team members as well as their academic achievements and expertise)

### **Successful practices of main project team members**

1) Projects funded by national S&T international cooperation programme in the past five years: project title, category, serial number, project duration, scale of fund, implementation, follow-up research and links with this application

2) Projects funded by other national S&T programmes in the past five years: project title, category, serial number, project duration, scale of fund, implementation, and relation with this application

3) List three examples in the past five years on S&T collaboration or technology introduction and their economic, social and environmental impact

4) List three achievements in the past five years, including publications, patents, standards, etc.

### **4. Capacities of foreign partners:**

(Brief introduction on foreign partners in terms of academic levels and technological advantages; academic levels and professional positions of foreign principal investigator and participants; if necessary technological training and services are provided)

### **List five achievements of foreign partners (including publications, patents, standards, etc.)**

### **5. Signing of cooperation agreements:**

(Please provide title of agreement or letter of intent, date and place of signature, and main content; please attach copy of agreement or letter of intent)

### **III、 Objective and content of cooperation**

#### **1. Objective and main content of cooperation**

(objectives should be clear, and content should be concrete)

#### **2.Key points of cooperation**

(Indicate relevant arrangement in promoting S&T diplomacies)

#### **3. Main innovations**

(Indicate the main scientific research or technological development bottleneck and difficult issues to be solved through practical international project cooperation, breakthroughs and innovation expected to be achieved, and comparison of relevant technical indicators prior and after cooperation)

#### **IV、 Cooperation plans**

##### **1. Organisation of implementation**

(Include info on project participants; organisation of human resources, technologies, funds, equipment and cooperation channels, as well as their integration, synergies, investment and applications; work flow, task allocation, cooperation methods and staff exchanges should also be included)

##### **2. Technological agenda**

(Including absorption, re-innovation and roadmap of technologies from joint R&D or imported technologies; cooperation or solutions in cooperation on major S&T bottleneck and difficult issues involved in this project should be indicated)

**3. Annual implementation plan and targets**

(Implementation duration can be adjusted based on practical situation and needs in cooperation)

Y1	
Y2	
Y3 and on	



## **V、 Protection of cooperation results and IPRs**

### **1. Expected results and evaluation indicators:**

(Talents, technology, equipment and paper publications, patent, standards, new technologies, new products including new biological varieties and computer software, new devices, new processing technics, new materials; evaluation indicators should be reasonable, clear, quantifiable; once launched, indicators should in principal not adjustable; please be specific on indicators)

### **2. Ownership, sharing, protection, and application of expected results and IPRs and relevant indicators**

(measures and indicators should be clear, practical, effective and binding; preventive measures and solutions on possible IPR disputes should be provided)

### **3. Input from foreign partners and concrete indicators**

(Including funds, human resources, technology, materials, facilities, information data and specific resources; please indicate if the aforementioned will be invested in the Chinese side for use during implementation or owned by CN side)

### **4. Protection of resources and IPRs to be invested by the Chinese side**

(Including use and protection of info, data, technologies, materials, facilities, specific resources, and IPRs owned by the Chinese side; concrete measures of effective protection of national interest and security; explain cooperation that may involve information in relation to China's natural resources and S&T statistics potentially concern Human genetic resources, Biological Germplasm Resources, biosafety, mapping, ocean, meteorology, hydrology, geology, minerals, environment, health, information security etc. Cooperation on aforementioned areas should abide by relevant laws, regulations and relevant management measures on confidentiality, ethics and IPRs etc.)

**5. Relevant international and domestic laws, regulations, practices and ethics**

(Indicate if this cooperation is in compliance with relevant international laws and practices and with those laws and regulations and ethics of China and home countries of cooperation partners. Projects potentially involved with China's Human genetic resources, Biological Germplasm Resources, biosafety, mapping, ocean, meteorology, hydrology, geology, minerals, environment, health, information security etc. should abide by relevant laws, regulations and management methods concerning ethics, IPR and statistics exchange. For circumstances of the above, please provide detailed information and corresponding measures and indicate if applications have been submitted to relevant administrations and if approvals are given. If approved, please provide relevant approval documents as annexes)

## **VI、 Expected economic and social impact**

### **Expected impact on diplomacy, economy and society**

(Including impact on S&T diplomacy and national major projects or major equipment development; competitiveness analysis with similar products or technologies from home and overseas as well as impact on promoting utilisation and industrialisation, facilitating relevant industrial and technology progress, stimulating development of emerging industries and upgrading competitiveness of relevant industries in China; scale of market of technologies and products as well as job creation; demonstrations, test and production to be created during project implementation; impact on ensuring national security, improving people's livelihood, upgrading public services and promoting sustainable social development. For projects integrating industries, research and universities, please provide industry-university-institute alliance mechanism for joint R&D and import of technologies with detailed plans, participation of enterprises, investment by industries as well as plans for technology application)

## **VII. Commitment and confidentiality check<sup>2</sup>**

---

<sup>2</sup> This part on confidentiality commitment defines the levels of confidentiality if any and will be signed by applicants, confidentiality offices of applicants' entities, and confidentiality offices of recommendation entities.