

Cooperation Agreement  
between the  
Helmholtz Association of German Research Centres  
and the  
Chinese Academy of Sciences  
on  
Helmholtz-CAS Joint Research Groups

Under which the Chinese Academy of Sciences ( Sanlihe Road 52, Xicheng, Beijing ) , represented by its President, Professor BAI Chunli, hereinafter referred to as “CAS”

and the

Hermann von Helmholtz Gemeinschaft Deutscher Forschungszentren e. V. ( Ahrstraße 45, 53175 Bonn, Germany ) , represented by its President, Professor Jürgen Mlynek, hereinafter referred to as “Helmholtz” ,

jointly referred to hereinafter as “Parties”

considering that the CAS and Helmholtz are distinguished research organizations in their home countries with outstanding scientific resources and scientific-technical facilities at their disposal;

considering that the CAS and Helmholtz are all devoted to strategic re-

search fields and make efforts to solve the grand challenges concerning social, economical and scientific development;

considering the positive experience of the long-standing relations between the CAS research institutes and the Helmholtz research centres and the on-going interest for many common matters;

in order to promote international outstanding and scientifically significant research cooperation and to facilitate exchange of scientists and researchers between the CAS institutes and the Helmholtz institutions conclude the following agreement:

## 1. Purpose

a) In Order to increase the scientific cooperation between Helmholtz Research Centres and CAS Institutes, Helmholtz and the CAS agree to organize a joint call for proposals which should lead to the formation of up to five “Helmholtz-CAS Joint Research Groups” ( hereinafter referred to as HCJRG ).

b) HCJRGs shall bring together research capacities from one or more CAS institutes and one or more Helmholtz Research Centres and German Universities, thus creating a centre of excellence with international standing and attractiveness to researchers in a key area of research. In general, researchers of both countries should contribute equally to the competence of the Helmholtz-CAS Partnership. In the Partnership researchers of the participating partner institutions work on a defined research project which is divided into coordinated work packages designed to reach a common research goal.

c) HCJRG provide sufficient level of skills, equipment and manpower capabilities necessary to work on the defined research topic, fill relevant research gaps and develop a special concept for cross-disciplinary support of young scientists.

d) HCJRG shall represent research groups of high national and international visibility which are promising to attract additional funding from third parties throughout their funding period.

e) HCJRG shall provide a management structure involving German and Chinese Principal Investigators (PIs), responsible for the harmonization and coordination of work packages within the HCJRG. A spokesperson responsible for the joint external representation, who will be elected from among the participating researchers and the PIs, shall be determined.

f) The significant results of the research shall be shared by the participating German and Chinese researchers. It is recommended that the Helmholtz and Chinese research institutions involved in the HCJRG should conclude a separate agreement on issues as intellectual property rights, liability and confidentiality.

## 2. Scope of Funding

a) **Helmholtz** is prepared to provide each selected HCJRG with an annual support ranging from 80,000 up to 120,000 Euros from its Initiative and Networking Fund, for a total of 3 years. The budget provided by Helmholtz can only be used for one or more of the following cost categories:

- to cover personnel costs for the HCJRG within Germany;
- to cover the travel costs for German HCJRG researchers and accom-



modation costs for Chinese HCJRG researchers;

- to purchase consumables necessary for the performance of the HCJRG;
- to cover the costs for joint field work or expeditions within the framework of the HCJRG.

Generally there would be no money transfer across the border, although preparation of probes or forwarding instrumentations could be carried out according to agreement.

**b) CAS** is prepared to provide each selected HCJRG with an annual support of up to 300,000 RMB (equivalent to roughly 35,000 Euros), for a total of 3 years. This part of CAS budget is from the CAS international cooperation fund and cannot be spent for personnel costs but just for one or more of the following cost categories:

- to cover the travel cost for Chinese HCJRG researchers and accommodation costs for German HCJRG researchers;
- to purchase consumables necessary for the performance of the HCJRG;
- to cover the costs for joint field work or expeditions within the framework of the HCJRG.

### 3. Call for Proposals

a) A call for joint proposals shall be released no later than 1st March each year. The submission deadline shall not be later than 3 months from the publishing date of the call. The call should announce that up to five HCJRGs can be granted within the framework of each joint call.

b) The call shall announce that proposals can be submitted in the following research fields, and programs therein, according to [Annex 2]:

- 1) Energy
- 2) Earth and Environment
- 3) Health
- 4) Key Technologies
- 5) Structure of Matter
- 6) Aeronautics, Space and Transport

#### 4. Conditions for funding

- For each HCJRG a joint proposal in English language has to be submitted through the Board of the coordinating Helmholtz Research Centre and the Headquarters of the Chinese Academy of Sciences.
- The proposal must indicate German and Chinese PIs of the project. PIs must be scientists of outstanding reputation.
- Participating groups that are not affiliated with the same institutions as the Chinese PI or the German PI should have their own Group Leaders, who should be early stage researchers.
- The joint proposal should contain a clear concept for the implementation of PhD and postdoctoral students into the research activities on both sides.
- The proposals must meet the following conditions:
  - Strategically relevant research topic
  - Selected for the advancement of research;
  - Program-oriented activities with coordinated, complementary work packages, concrete goals and sufficiently detailed milestones;
  - Evidence of the expertise of the research groups, e. g. from collaborative research centres, Helmholtz evaluations, prizes, leadership or participation in outstanding EU or other

- third party-funded projects, calls to high-ranking expert committees, high quality publications;
- Concrete quality gain for partner institutions, possibly also in comparison to existing cooperation;
  - Sufficient level of skill, equipment and manpower capabilities to conduct the research timely and with excellence;
  - Joint management and leadership structure;
  - Opportunities for the exchange of young scientists must be outlined;
  - Financial master plan regarding the utilization of funds requested from Helmholtz and CAS (3 year financial plan giving annual specifications of the categories of costs for each of the participating partner institutions respectively: personnel, travel, consumables and equipment).

## 5. Application, Evaluation and Selection Procedures

- a) The scientific partners prepare a **joint proposal in English** language in accordance with the form provided by Annex 1 to the Agreement. The joint proposal shall be submitted to the Executive Boards of the respective Helmholtz Center and the Headquarters of the Chinese Academy of Sciences for internal selection procedure separately. In case, more than one Helmholtz Center is involved, the joint proposal is submitted to the coordinating Helmholtz Center, as defined within the joint proposal.
- b) The Executive Board of the coordinating Helmholtz Centre and CAS headquarters shall decide on the admittance of the proposals for further evaluation through Helmholtz and CAS headquarters. The joint proposals, selected for further review must be submitted in 4 copies



to the Helmholtz and CAS headquarters by the date published in the joint call for proposals. For further copies an electronic version shall be provided.

- c) Proposals must fulfil all the formal conditions for funding as announced in the Call in order to be admitted to the evaluation procedure. Amendments to the application form after submission are not possible.
- d) The proposals admitted for further review shall be evaluated by Helmholtz Headquarters and CAS. The Parties organize individual peer review processes in accordance with internal rules and procedures of the Parties, provided that no less than two individual reviews of each proposal are carried out.
- e) The peer review shall be completed by the Parties within **three months** after the deadline published in the joint call for proposals.
- f) The evaluation results of Helmholtz and CAS shall be reflected in two ranked lists of proposals, which consist of three parts:
  - 1. Category A: to be funded with the highest priority;
  - 2. Category B: to be funded if the budget allows it ( "reserve list" ) ;
  - 3. Category C: deemed to be of insufficient quality or not corresponding to the objectives of the bilateral scientific cooperation mechanism; not to be funded.
- g) Helmholtz and CAS shall set up a joint Selection Panel, consisting of three reviewers from each of the Parties. The Review Panel shall carry out the final selection of proposals to be funded on the basis of the previous stages of evaluation reflected in the ranked lists prepared by the Parties. A funding decision is expected no later than **one month** after the completion of the evaluation procedure.
- h) In selecting the proposals for joint funding, the Selection Panel will apply the following principles:

1. proposals, put in category A by both Helmholtz and CAS will be funded as funding is available; in the event that funding is not available for all category A proposals, Helmholtz and CAS will mutually select a sub-set of the category A proposals for funding;
2. proposals put in category A by one of the Parties and in category B by the other can be funded if there are no more proposals ranked in category A by both Parties and depending on the available Helmholtz and CAS budgets;
3. proposals, ranked in category B by both Helmholtz and CAS can only be funded if there are no more proposals ranked in category A by either of the Parties, and depending on the available Helmholtz and CAS budgets;
4. proposals put in category C by Helmholtz and/or CAS are not eligible.

## 6. Funding Process

**Funding agreements** will be concluded between the Helmholtz Association and the coordinating Helmholtz Centre and between CAS and Chinese Institutions for each proposal, which is to receive funding. **The coordinating Helmholtz Centre**, as primary recipient, passes the financial means allocated from the Initiative and Networking Fund of the Helmholtz Association on to the partner institutions, as final recipients, in accordance with the preliminary calculations quoted in the proposal and the limitations to cross border transfer of funds.

## 7. Duration of Agreement

The agreement is signed for the funding period of first call for proposals beginning from 1st March 2012 and will be continued, if both parties jointly declare until six months before the expiry of the agreement the



successful performance and the proper conduct of the actual cooperation period.

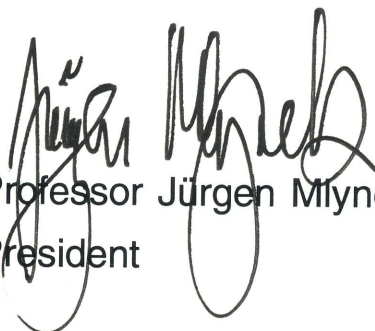
Compiled and signed in two identical versions in English language in Beijing.

For CAS

For Helmholtz



Professor BAI Chunli  
President



Professor Jürgen Mlynek  
President

23. August 2011

23. August 2011