



PROCEDURES FOR ADDING NEW MEMBERS TO CONSORTIA FOR THE CLEAN ENERGY RESEARCH CENTER

中美清洁能源联合研究中心（CERC）各联盟增加新成员程序

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Business, industrial, and non-governmental entities that have been contributing to and collaborating with research-performing organizations operating under the auspices of the U.S.-China Clean Energy Research Center (CERC) are seeing results and accruing benefits from CERC participation.¹ As a consequence of these early successes, other research institutions and businesses in both countries have expressed interest in joining CERC consortia as new members and participating in CERC cooperative activities.

那些对中美清洁能源联合研究中心（以下简称 CERC）资助的执行研究单位一直提供支持并为之协作的商业、工业和非政府实体见证了 CERC 的成果并收获了参与 CERC 益处。这些早期成功的结果是：两国的其他研究机构和商业表示有兴趣参与 CERC 的技术联盟，希望作为新成员参与 CERC 的合作活动。

The Department of Energy of the United States of America, and the Ministry of Science and Technology and the National Energy Administration of the People's Republic of China, have reached the following understanding:

美国能源部与中华人民共和国科学技术部和国家能源局已经达成以下谅解：

In general, enhanced engagement by business, industrial, and non-governmental entities in CERC cooperative activities, through greater participation and by adding new consortia members, is encouraged. A new CERC consortium member is expected to:

总体而言，鼓励通过扩大参与和增加联盟新成员来增强商业、工业和非政府实体参与 CERC 的合作活动。对 CERC 联盟新成员的期望是：

- (a) support the mission of the CERC, as established by the Protocol, and the vision and goals of its respective CERC consortium, as established by the consortium director;

¹ The U.S.-China Clean Energy Research Center is a bilateral research initiative to encourage R&D collaboration and accelerate advanced technology development and deployment in both countries. It is organized by the two governments under a Protocol, signed on November 17, 2009. Participating agencies are for the PRC the Ministry of Science and Technology, the National Energy Administration, and the Ministry of Housing Urban and Rural Development and for the U.S. the Department of Energy. 中美清洁能源联合研究中心是一种双边研究倡议，它鼓励研发协作和加速先进技术在两国的开发和部署。它由两国政府在 2009 年 11 月 17 日签署的一个议定书下组建。中方参与的政府部门有科学技术部、能源局和住房与城乡建设部；美方参与的政府部门是能源部。

支持议定书上设立的 CERC 使命，并支持相应 CERC 技术联盟主任设立的愿景和目标；

- (b) add value to the CERC's capacities and work program, evidenced in part by contributions of an intellectual, technical, financial, and/or in-kind nature;

为 CERC 的能力和工作项目增加价值，部分体现在智力、技术、财务和/或实物性质的贡献上；

- (c) support projects that meet CERC criteria;²

支持符合 CERC 条件的项目；

- (d) agree in writing to be bound by the same obligations of an existing consortium's members; and

以书面形式同意受与现有联盟成员一样的义务所约束；并且

- (e) agree in writing to adhere to the provisions of the Protocol and the associated Technology Management Plans governing the protection and allocation of intellectual property arising from CERC cooperative activities.³

以书面形式同意遵守“议定书”和技术管理计划的条款，该技术管理计划规范了对 CERC 合作活动中所产生的知识财产的保护和分配。

2. In order to assure that new consortium members adhere to the CERC mission and meet the standards set by the Protocol's signatories, the following procedures are to apply to the addition of new consortium members:

为了确保联盟新成员遵循 CERC 的使命，并且符合议定书签署方设定的标准，则增加联盟新成员要采取如下程序：

- (a) An interested entity and prospective member should submit a formal request to join a U.S. or China CERC consortium to that country's consortium director.

² Criteria for funding CERC research projects include: (a) scientific and technical merit; (b) relevance to larger thematic objectives; (c) quality of the research team, including its leaders, key research personnel and supporting resources, equipment, and facilities; (d) expected benefits for both countries (not just one country); (e) emphasis on science, technology and innovation, with potential for new intellectual property; (f) path to commercialization of resulting knowledge or technology; and (g) evidence of joint planning and US-China research collaboration. 向 CERC 研究项目提供资金的标准包括：(a)科学和技术价值；(b)与大型主题项目的相关性；(c)研究团队素质（包括其负责人、主要研究人员）和支持资源、设备及设施；(d)两国的预期收益（非一国的）；(e)重点在能产生潜在知识财产的科学、技术和创新；(f)得到知识或技术的商业化路径；以及(g)联合规划和中美协作研究的证据。

³ Protocol and Technology Management Plans may be found at: <http://www.us-china-cerc.org>. 议定书和技术管理计划可以在这个网站中找到：<http://www.us-china-cerc.org>.

对于要加入中国或美国的 CERC 某一联盟有兴趣的实体和有希望的成员应向所属国家的相关联盟主任提交一份正式申请。

- (b) The request should provide a description of the entity and any other relevant information (e.g., a brief description of projects it is interested in undertaking in the CERC, potential project partnerships with existing consortium members, and the nature of the contribution(s), of the type stated in paragraph 1(b) above, it may be willing to make to the CERC.

该申请应提供其实体的描述和任何相关信息，如：简短描述其感兴趣的 CERC 下所进行的项目，与现有联盟成员的潜在项目伙伴关系以及其可能愿意向 CERC 所做贡献的性质，这在以上段落 1(b)中有所表述。

- (c) A request should include a letter signed by an authorized official of the applying entity stating the applicant's commitment to be bound by the Technology Management Plan for the relevant consortium.

该申请需包含一封由申请单位一位被授权的高层人员签署的信函，信函中陈述申请方承诺遵守相关联盟的技术管理计划。

- (d) Upon receipt of the request, and after consultation with other consortium members, the CERC consortium director receiving the request is to consult with the other country's consortium's director.

对于收到的申请，CERC 联盟主任要与本联盟内其他成员进行商议，然后再与另一国的该联盟主任进行商议。

- (e) After such consultation and consideration of views, the consortium director, alone, shall determine whether the request conforms to the requirements above and membership be granted.

在咨询商议和考虑各种观点后，联盟主任将单方决定该申请是否符合上述要求以及是否应该授予申请单位成员资格。

- (f) If granted, the consortium director shall inform the CERC Secretariat.

如果授予成员资格，联盟主任应该通知 CERC 秘书处。

3. Each country consortium director shall maintain a current list of its consortium members and communicate any changes to the Secretariat in a timely manner.

每一个联盟主任都应该维护好一份现有的联盟成员名单，如有任何变化要及时与秘书处进行沟通。