

Announcement of Call for Applications for Joint Fund for Offshore Wind Power Research under Guangdong Basic and Applied Basic Research Foundation for 2022

I. Background and Purpose

The Joint Fund for Offshore Wind Power Research (hereinafter referred to as the "Joint Fund") is jointly set up by the Department of Science and Technology of Guangdong Province, China Southern Power Grid Co., Ltd., China Three Gorges Corporation, Guangdong Energy Group Co., Ltd., Ming Yang Smart Energy Group Limited, and the Committee of Guangdong Basic and Applied Research Foundation (hereinafter referred to as the "Foundation Committee"), as an important part of Guangdong Basic and Applied Basic Research Foundation (hereinafter referred to as the "Foundation"). Based on actual demand and problems, the Joint Fund is intended for supporting basic and applied research on key scientific problems and issues that hinder technological self-reliance in technological innovation and development in the offshore wind industry to promote the dynamic interplay between the knowledge and technological innovation systems, foster outstanding research talent and teams, and enhance the independent innovation capabilities and core competitiveness of the offshore wind industry in Guangdong.

II. Application Requirements

The Joint Fund for 2022 accepts applications for the two types of projects: key projects and general projects. Their application requirements are listed as follows:

(I) Key Project

A key project is intended for supporting basic and applied research to address key scientific problems and demands in frontier, core domains of the offshore

wind industry which are dependent on foreign technology and to achieve breakthroughs in key areas.

1. Applicant Eligibility

(1) Applicants should be full-time or dual-appointed employees working at a Guangdong-based organization supported by the Foundation (applicants should upload a valid contract or proof of employment with their organizations). Dual-appointed employees should have enough time to complete the project during their employment.

(2) Applicants should have a senior professional and technical title (position).

(3) Applicants should have previous experience in leading projects funded by sci-tech programs or funds at the provincial/ministerial level or higher (applicants should upload the project contract, charter, or the approval of project conclusion).

(4) Applicants are not working on any R&D projects in provincial priority sectors or major basic research projects at the provincial level.

(5) Applicants should satisfy the application requirements specified in Section III herein.

2. Funding Amount

Each approved project will receive a lump-sum grant of RMB 1 million up front, with an implementation period of four years.

3. Research Fields and Topics

The research fields and topics supported are listed in the Application Guide for the Joint Fund for Offshore Wind Power Research in 2022 (see Annex). Applications in fields outside the list will be rejected.

4. Expected Results

Expected project results include breakthroughs in research on key scientific problems which provide strong support for the development of core technologies in the key offshore wind sectors, significant increases in the

influence and competitiveness of the research teams in and outside China, and a total of at least two high-quality papers published (subject to the funded projects purported) or patent applications. Project results can be presented in the forms of monographs, standards and specifications, personnel training programs, patent applications, and result commercialization.

(II) General Project

A general project is intended for supporting innovative research in the key technical areas of the offshore wind industry to foster talent and teams and lay the groundwork for the industry's future growth and technological advances.

1. Applicant Eligibility

(1) Applicants should be full-time or dual-appointed employees working at a Guangdong-based organization supported by the Foundation (applicants should upload a valid contract or proof of employment with their organizations). Dual-appointed employees should have enough time to complete the project during their employment.

(2) Applicants should have an intermediate or higher professional and technical title (position) or a doctoral degree.

(3) Postdoctoral fellows are eligible for the General Program but they must set aside adequate time to finish the project.

(4) Applicants are not working on and leading any R&D projects in provincial priority sectors, major basic research projects at the provincial level, key projects funded by the Foundation, major basic research incubation projects, or team projects.

(5) Applicants should satisfy the application requirements specified in Section III herein.

2. Funding Amount

Each approved project will receive a lump-sum grant of RMB 300,000 up front, with an implementation period of three years.

3. Research Fields and Topics

The research fields and topics supported are listed in the Application Guide for the Joint Fund for Offshore Wind Power Research in 2022 (see Annex). Applications in fields outside the list will be rejected.

4. Expected Results

Expected project results include significant increases in the ability to undertake scientific research and lead a team, and at least one high-quality academic paper published (subject to the funded projects purported) or one patent application. Project results can be presented in the forms of monographs, standards and specifications, personnel training programs, patent applications, and result commercialization.

III. Application Requirements

(I) Application Restrictions

1. The Joint Fund is only open to Guangdong-based organizations supported by the Foundation, i.e., organizations registered with the Foundation.
2. There is no limit on the number of applications submitted by an organization for the Joint Fund in 2022. Each applicant is allowed to submit only one application for the Joint Fund, which counts towards the limit of two applications for Guangdong provincial sci-tech programs or funds in the same year.
3. The Foundation in 2022 (including the Guangdong Natural Science Fund, provincial-municipal joint funds, and provincial-corporate joint funds) supports at most one project per applicant. Applicants who already have approved projects under the Foundation in 2022 are not eligible for application.
4. Applicants who are working on or leading three or more projects supported by Guangdong provincial sci-tech programs or funds (except for projects related to platforms such as provincial laboratories and provincial key laboratories, those related to inclusive policies, and those receiving post-

project subsidies), or two or more projects supported by the Foundation are not eligible for application.

5. Applicants who are working on and leading one or more projects supported by Guangdong provincial sci-tech programs or funds that are one year overdue for acceptance (except for projects related to platforms and inclusive policies, and those receiving post-project subsidies) are not eligible for application.

6. Applicants who are disqualified from undertaking and participating in any projects supported by Guangdong provincial sci-tech programs or funds as the lead applicant due to serious dishonesty are not eligible for application.

(II) Requirements for Research Integrity

1. The application shall be made by the applicant himself/herself. It is strictly prohibited to impersonate others or fabricate false applicants and principal participants in the application. Applicants and principal participants shall truthfully fill in their personal information and be responsible for its authenticity. Applicants are responsible for the authenticity of all participants' personal information and shall sign the Letter of Commitment to Research Integrity on the system (there is no need to upload the paper Letter of Commitment).

2. Applicants shall fill in the application form in accordance with the application guide and requirements, and truthfully fill in relevant research basis and content. Plagiarism or falsification is strictly prohibited. So is the violation of laws and regulations, ethical principles, and regulations on technological security.

3. If the project application involves issues related to research ethics and technological security (such as biosecurity and information security), the applicant shall strictly abide by relevant national laws and regulations and ethical principles, and provide relevant supporting documents such as the opinion of the ethics committee of the applicant's host organization, which should be uploaded as attachment.

4. Submission of applications with identical or similar research projects for different programs, from different applicants, or via different organizations in the same year is not allowed, nor is the submission of an application for a program from which the applicant has already been approved for a grant, or applications with the same research content to different funding agencies. If the research featured in the applicant's application has received grants from other sources, the applicant shall clarify it in the application form and specify the difference and connection between the funded project and the project submitted for application.

5. Applicants shall describe the project and expected results practically and reasonably, without fiction or exaggeration. Once the project is approved, the tasks, objectives, research results, indicators, and other information stated in the submitted application will be automatically included in the project charter correspondingly and cannot be modified or adjusted in principle.

6. The application documents and relevant supporting documents shall not contain any confidential information that is illegal or prohibited by law from being disclosed. Any classified information should be declassified prior to submission.

7. Any act of research misconduct that violates the commitment to research integrity will result in corresponding sanctions in accordance with the Tentative Measures of Guangdong Province for Research Integrity Management and the Foundation's regulations on research misconduct.

(III) Intellectual Property (IP) Requirements

The Foundation Committee and the co-funding enterprises collaborate to facilitate project data sharing and promote the use of the research results in practice. For effective utilization and commercialization of research results, projects supported by the Joint Fund shall comply with the following IP management requirements:

1. During the implementation of a project, a project implementation report shall be submitted annually as per the requirements of relevant Guangdong

provincial sci-tech programs to provide timely communication of the research progress, results and output, result utilization, as well as information about IP acquisition, commercialization, and protection. The organization undertaking the project (undertaking organization) and the project leader shall report the research results obtained using the project fund and how the results are translated into practice to the Foundation Committee annually until December 31 of the third year following the acceptance of the project.

2. The undertaking organization owns the patents, software copyrights, and other research results obtained in the project, except for those relating to national security, national interests, or major social and public interests.

3. If more than one organization jointly submits an application for the Joint Fund, an agreement shall be reached outlining details such as IP ownership, application, management, and protection.

4. The undertaking organization and the project leader should take timely measures to protect IP rights during project implementation. The undertaking organization should file patent or copyright applications for the technological achievements they made, except for those involving state and trade secrets.

5. The co-funding enterprises have the right of first refusal (ROFR) in the transfer of IP acquired in a project on the same conditions within three years from the registration or filing date of the IP as per the following rules:

(1) If a co-funding enterprise makes a request to utilize and commercialize the IP obtained in a project sponsored by the Joint Fund during the ROFR period, the undertaking organization shall deal with the request within a reasonable time and submit the results of their negotiation to the Foundation Committee.

(2) If any other entity requests to utilize and commercialize IP obtained in a project sponsored by the Joint Fund within the ROFR period, the undertaking organization shall promptly notify the Foundation Committee in writing, which will then inform the co-funding enterprises in writing. If a co-funding enterprise intends to exercise its ROFR, it should negotiate with the undertaking organization in good faith on the details of the implementation and

commercialization of the IP. Otherwise, the co-funding enterprise is deemed to waive its ROFR.

(IV) Requirements for Fund Management

1. The use of funds from the Joint Fund in 2022 shall be subject to Guangdong's fund management requirements for research at the provincial level and the Notice of the Department of Science and Technology and Department of Finance of Guangdong Province on the Introduction of the "Negative List + Lump-sum Funding" Pilot for Guangdong Basic and Applied Basic Research Foundation Projects (YKGF [2022] No. 2). Under the pilot scheme, there is no need to specify individual expense items in the budget.
2. All applicants' host organizations should establish an internal fund management scheme based on the "negative list + lump-sum funding" pilot as soon as possible and submit it to the Foundation Committee for recordation.
3. The portion of the project fund which is allocated to institutions based in Hong Kong and Macao SARs can be disbursed directly to them as per the Rules of the Department of Science and Technology and Department of Finance of Guangdong Province on Participation of Universities and Research Institutes in Hong Kong and Macao Special Administrative Regions in Projects Supported by Science and Technology Programs or Funds in Guangdong Province (YKGF [2021] No. 9).

(V) Responsibilities of Applicants' Host Organizations

1. Applicants' host organizations shall fulfill their responsibilities as a governing body, such as establishing and improving the project and fund management systems, especially the "negative list + lump-sum funding" scheme, and managing and standardizing the implementation and acceptance of projects supported by the Foundation.
2. The host organizations shall be accountable for the validity of the applicants' eligibility and examine the authenticity and completeness of the application documents. Any application that does not meet related requirements shall not be submitted.

3. After a host organization finalizes the recommended projects in line with relevant requirements, it shall generate a project list and upload a Letter of Commitment to Research Integrity affixed with the organization's seal to the system. (The administrator of the organization can download the commitment letter template after the application system is open, and upload the scanned copy of the letter with the organization's seal through Application Management > Project Management > Foundation Project List Management.)

4. The host organizations shall establish a sound review mechanism of research ethics and technological security, reduce ethical and security risks, and strengthen the ethical review and supervision of the research in accordance with relevant laws and regulations and ethical principles.

(VI) Collaborative Research Requirements

1. In addition to the organization that leads the application, each project may be carried out by no more than two institutions jointly.

2. The leading and partner organizations shall execute a collaborative research agreement (or contract, the same as below) that specifies the allocation of funds and ownership of the research results before submitting the application. 3. The leading organization should have excellent research or resource integration capabilities and, in theory, be allocated the biggest portion of the project funds at the provincial level. There is no need to submit the collaborative research agreement together with the application; instead, it should be archived in the applicant's host organization and submitted with the project charter after the project is approved.

3. The principal participants of a project may include persons outside the applicant's host organization (including graduate students). If such persons are based in China (excluding those from Hong Kong and Macao SARs), their organizations are deemed partner organizations whose information shall be provided in the application. If such persons are based outside China, they generally participate in the project application in their personal capacity and must upload the electronic scanned copy of Informed Consent from Overseas

Personnel to the online application system (the template can be downloaded from the system). If such persons are based in Hong Kong and Macao SARs, they may participate in their personal capacity or as partner organizations.

IV. Application Methods

(I) Applications shall be submitted through the website of Guangdong Government Service or the Guangdong Science and Technology Business Management Sun-Government Platform (hereinafter referred to as the "Sun-Government Platform") at <http://pro.gdstc.gd.gov.cn/>.

(II) Before application, the applicant's host organization shall register as an organization supported by the Foundation on the Sun-Government Platform. The applicant can check whether his/her organization is supported by the Foundation in View Organization Registration on the login page of the Sun-Government Platform.

(III) The applicant shall fill in the project information in the application form as required, upload the necessary supporting documents, and submit them following the specified procedure after the review by the organization. The start date should be October 1, 2022, in all applications, and the end date varies depending on the funding period of each project.

(IV) The Online Application Guide for Guangdong Basic and Applied Basic Research Foundation Projects, Application Guide for Registration of Organizations Supported by Guangdong Basic and Applied Basic Research Foundation, Guide for Filing of "Negative List + Lump-sum Funding" Scheme for Guangdong Basic and Applied Basic Research Foundation, and the project application template can be downloaded from Home > Documents on the Sun-Government Platform.

V. Deadline

(I) Online application submission and recommendation by applicants' host organizations:

June 28 - 17:00, July 18, 2022

(II) Online submission of the project list and letter of commitment by applicants' organizations:

July 19 - 17:00, July 21, 2022