



中国海洋大学与美国奥本大学
关于成立水产养殖与环境科学联合研究中心的协议

**Agreement between Ocean University of China and Auburn
University to Form a Joint Center for Aquaculture and
Environmental Sciences**

中国海洋大学（OUC）和奥本大学（AU）长期专注于水产养殖与环境科学领域的研究和教育，决定成立水产养殖与环境科学联合研究中心（中心），以进一步促进双方在水产养殖/渔业和环境科学研究和教育领域全方位的合作。

Both Ocean University of China (OUC) and Auburn University, Alabama, USA (AU) are dedicated to advancing research and education in aquaculture and environmental sciences and have decided to set up the OUC-AU Joint Center for Aquaculture and Environmental Sciences (Joint Center). The goal of the Joint Center is to promote collaborations between the two institutions in research and education in the fields of aquaculture/fisheries and environmental sciences.

一、组织架构

1. Organizational Structure

(1). 双方负责落实中心建设和执行共同商定的政策，并为中心运行提供相应的条件保障。中心主任向双方大学领导（校长和/或副校长）作年度报告，报告项目研究进展、经费使用情况和含有科学和预算内容的下年度工作计划。

(1) Both institutions are dedicated to the development of the Joint Center and to implementation of mutually-agreed policies and rules and will provide adequate support for its operation. The Joint Center's Director will provide an annual report to the leadership (President and/or Vice President) of both institutions, describing the progress of joint projects and expenses and presenting scientific and budgetary plans for the following year.

(2). 中心由一名主任管理。由双方共同提名和聘任，聘期 3 年。中心主任主持全面工作，负责中心的整体发展和规划。双方派一名副主任和一名工作人员协助主任管理中心工作。

(2) The Joint Center will be administered by a Director. The Director will be nominated and appointed by both institutions and will have an initial term of 3 years. The Director, while responsible for overall operation, will focus on developing research themes and future plans. Each institution will assign an Associate Director and a staff assistant to support the Director in managing the Joint Center.

(3). 中心成立咨询委员会，其成员包括中心主任、副主任和双方选派的核心管理人员如校级领导和院长。咨询委员会为中心的研究计划和研究目标的制定提供指导，评审中心运行的业绩和进展情况。咨询委员会任期 3 年。3 年后双方领导（校长和/或副校长）评估中心的业绩，并决定是否改进中心运行机制以及更换主任、副主任和咨询委员会。

(3) The Joint Center will form a Joint Advisory Committee that consists of the Director, Associate Directors and key management personnel such as institutional leaders and department chairs, to be chosen by each institution. The Committee will provide guidance on the Joint Center's research plans and objectives and review its accomplishments and progress. The term for the Joint Advisory Committee is 3 years. After 3 years, the leadership (President and/or Vice President) of the two institutions will evaluate the Joint Center's accomplishments and decide whether to renew the Joint Center, as well as its Director, Associate Directors and Joint Advisory Committee.

二、联合项目组织形式

2. Joint Project Guidelines

(1). 双方将以中心为平台，开展包括但不限于以下内容的活动：a)双方合作的中心内部研究项目；b)双方申请外部资金中心配套资金的项目；c)针对潜在合作的种子基金项目；d)教师交流，如短期教学和学术休假；e)联合举办学术会议；f)相关教育和培训活动，如双学位、联合培养、在线证书项目、游学。任何涉及学位证书的联合培养或双学位协议将另起文本协议，并应符合美国南方学院和学校联合会（SACS）的政策和中国教育部的有关规定。

(1) The two institutions will use the Joint Center as a platform to conduct activities including, but not limited to, the following: (a) joint projects that are funded by the Joint Center itself; (b) externally funded projects that are supplemented by support from the Joint Center; (c) small seed-funding projects to promote substantive collaborations between the two institutions; (d) faculty exchange programs such as short-term teaching and sabbatical visits; (e) joint workshops and conferences; and (f) educational/instructional activities such as dual degree/articulation programs, online certificate programs, study abroad/study tours. Any

agreement involving joint or dual academic awards will be embodied in a separately negotiated written agreement, consistent with the policies of the Southern Association of Colleges and Schools Commission on Colleges, USA, and the regulations and rules of the Ministry of Education of the People's Republic of China.

(2). 每年由中心主任和副主任共同提出年度项目主题和申请指南，经咨询委员会审议后发布。资助项目期望以公开方式遴选如公开征集项目建议。联合项目须由双方科学家共同参与，鼓励青年学者积极参加。中心主任和副主任组成临时审查小组，从科学价值和与中心目标的相关性等方面对申请项目进行审查和排名，并提交咨询委员会审议。中心主任、副主任和咨询委员会商议后最终确定支持项目名单和支持额度。

(2) Each year, the Director and the Associate Directors will jointly propose a theme and guidelines to the Joint Advisory Committee. It is desired that projects that are funded by the Joint Center be selected through open processes such as calls for proposals. A joint research proposal will include co-PIs from both institutions. The Joint Center encourages early-career scientists from both institutions to participate. The Director and Associate Directors will assemble an *ad hoc* review panel, which will review and rank proposals based on their scientific merit and relevance to the goal of the Joint Center. The *ad hoc* review panel will make funding recommendations to the Director, who will make the final funding decisions in consultations with the Associate Directors and the Joint Advisory Committee.

(3). 内部联合研究项目执行年限为 2 年，每个项目提供不高于 10 万美元/年的资助强度，经费在第 1 年全额拨付。2 年结束后中心主任和副主任对项目的执行情况进行评估。种子基金项目用于培育双方未来的内部联合研究项目，资助期限 1 年，不超过 2 万美元。每一个获得资助的项目将签署一个单独的协议，包括项目的目标、工作方法、时间节点、参与人员、经费预算、预期成果等必要的信息。

(3) Research projects that are selected for funding will be funded up to \$100,000 USD per year for 2 years (or up to \$200,000 USD total, which will be allocated at the beginning of the project). The accomplishment of each project will be reviewed by the Director and Associate Directors at the end of the 2nd year. The Joint Center will consider smaller 1-year "seed funding" proposals, up to \$20,000 USD, to support development of research topics and collaborations between PIs from AU and OUC. Each funded project will be described in a separate agreement specifying objectives, methods, schedules, personnel, budget, deliverables and other necessary information.

(4). 双方原有的知识产权仍由双方各自拥有，通过中心研究获得的新的知识产权所有权归属将由双方在每个项目协议中约定。中心的研究成果需要及时在科学杂志上发表，鼓励双方合作发表文章，发表时需标注“中国海洋大学-奥本大学水产养殖与环境科学联合研究中心”作为单位之一并注明中心项目资助，可以是中文或英文。在不违反双方各自安全法规前提下，相关的数据也将对外公开或发布。

(4) Background intellectual property involved in any joint research project will remain the property of its original owner. New intellectual property developed with funding from the Joint Center will be assigned in accordance with terms of the specific research agreement for each project and in keeping with each institution's existing policies governing intellectual property. Research results supported by the Joint Center will be published in professional and publically-accessible journals in a timely fashion. Publication may be in English or Chinese as appropriate. Any underlying data and research methods should similarly be publically released and/or published under the regulation of both institutions. The authors are required to acknowledge the financial support from the Joint Center and list the "Ocean University of China-Auburn University Joint Center for Aquaculture and Environmental Sciences" as an additional affiliation.

(5). 为加强双方学者的互动，促进联合项目申请，双方将通过以下方式开展学术交流活动：1) 建立一个网站以促进双方合作；2) 组织视频会议进行交流与合作；3) 每年举行一次双方学者参加的专题学术会议。

(5) The Joint Center will actively promote interactions between potential co-PIs from the two institutions so that they can develop joint proposals. Specifically, the Joint Center will 1) establish a website for promoting collaborations; 2) hold video conferences for idea exchanges and collaboration developments; and 3) organize a co-PIs meeting once a year.

三、经费预算及使用方式

3. Budget Plan

(1). 为支持中心在水产养殖和环境科学方面的教育和科研活动，OUC 将为中心提供经费支持，AU 将提供补充性支持。双方将通过协商确定投入经费数。

(1) To support the Joint Center's research and educational activities in aquaculture and environmental sciences, OUC will provide financial support for the Joint Center. AU will provide supplemental financial support. Both institutions will consult with each other regarding the level of support.

(2). OUC 计划每年为中心提供约 50 万美元额度的经费。总经费额度将依据每年全部资助项目的预算额确定。OUC 将需要在中国（大陆）境外支付的部分以研究经费形式拨付 AU。

(2) OUC's plan is to provide about five hundred thousand US dollars (\$500,000) per year to the Joint Center. The total support each year will be based on the budget of all funded projects. OUC will transfer a portion of its financial contribution to the Center to AU.

(3). AU 计划每年为中心提供约 20 万美元作为补充经费。

(3) AU's plan is to provide about two hundred thousand dollars (\$200,000) per year as supplemental financial support (i.e., cost share).

(4) AU 和 OUC 将依据确定的资助项目和中心的指南使用经费，并每年向双方提供项目经费执行情况和决算以满足审计目的。

(4) AU and OUC will manage the expense according to the funded projects and the Joint Center's guideline, and provide the funding budget implement and summary each year to both institutions for their auditory purpose.

本协议自签字之日起生效，有效期为 3 年。3 年结束时双方将讨论协议变更或延期问题。

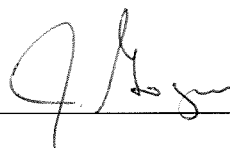
This agreement is for an initial period of 3 years, from the date of signing. At the end of this three-year period, the two institutions will discuss whether it should be renewed or extended.

本协议的所有修改均需通过双方书面许可。任何要终止本协议的一方需要提前三个月书面通知对方，并承担由此产生的相应的经济和其他义务。

Any modification to this agreement shall require the written approval of both AU and OUC. This agreement may be terminated by the initiation of either party with three months advance notice in writing; in such a case, each party will assume its own financial and other responsibilities for the completion of required and agreed upon activities as set out in the applicable agreement or project.

OCEAN UNIVERSITY OF CHINA
QINGDAO, PRC

AUBURN UNIVERSITY
AUBURN, ALABAMA, USA



Date: 2016-01-25
Prof. Zhigang Yu
President

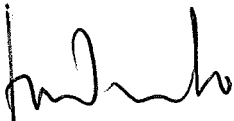
Date: 02/19/2016
Dr. Jay Gogue
President


COLLEGE OF AGRICULTURE
Office of Global Programs

Ocean University of China- Auburn University Joint Center Agreement

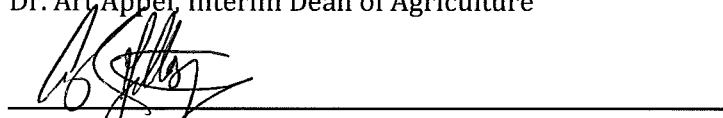
The attached proposed agreement for the Ocean University of China-Auburn University Joint Center has been reviewed by the College of Agriculture's Office of Global Programs and Ocean University of China and is ready for your signature.

Sincerely,



Henry Fadamiro


Dr. Art Appel, Interim Dean of Agriculture

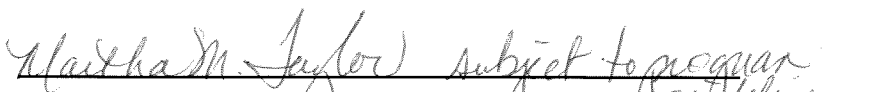
8/25/2015
Date


Dr. Andrew Gillespie, Assistant Provost

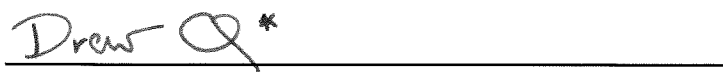
8/21/2015
Date


Dr. George Flowers, Dean of Graduate School

8/21/2015
Date


Martha Taylor, Assistant Vice President, Research *subject to program guidelines to come/mt*

8/25/2015
Date


Dr. Drew Clark, Director, Institutional Research and Assessment

August 21, 2015
Date


Dr. Timothy Boosinger, Provost

8/26/2015
Date

* No accreditation; recommend consultation with OVPRED regarding clarity and appropriateness of financial clauses before final approval. *cd*