

GUIDELINES
FOR
PREPARATION OF
RESEARCH GRANT
PROPOSALS
&
MONITORING OF
RESEARCH PROJECTS



HONG KONG BAPTIST UNIVERSITY

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Note: To keep track of changes to this edition, readers could view the soft copy of this publication, mounted on the Research Grants website.

[URL: http://buar.hkbu.edu.hk/index.php/for_staff/research/research_grants]

APPLICATION FOR RESEARCH GRANTS

1. TYPES OF RESEARCH GRANTS

Academic research of the University is supported mainly by the following grants:

1.1 Research Grants Council (RGC) Grants:

- 1.1.1 General Research Fund (GRF)
- 1.1.2 Collaborative Research Fund (CRF)
- 1.1.3 Public Policy Research (PPR)
- 1.1.4 Strategic Public Policy Research (SPPR)

1.2 Internal Grants (including Direct Allocation funded by the Research Grants Council (RGC):

- 1.2.1 Faculty Research Grant (FRG)
- 1.2.2 FRG Conference Grant

1.3 External Grants:

- 1.3.1 [Croucher Foundation](#) (CF)
- 1.3.2 [Health and Health Services Research Fund \(HHSRF\)*/ Research Fund for the Control of Infectious Diseases \(RFCID\)*/ Health Care & Promotion Fund \(HCPF\)*](#)
- 1.3.3 [Innovation & Technology Fund](#) (ITF)*
- 1.3.4 [Joint Research Schemes \(JRS\): France/HK, Germany/HK, NSFC/RGC, ESRC/RGC, Spain/HK, Netherlands/HK](#)
- 1.3.5 [Language Fund](#) (LF)*
- 1.3.6 [Occupational Safety and Health](#) (OSH) Research Grant*
- 1.3.7 [Quality Education Fund](#) (QEF)
- 1.3.8 [S K Yee Medical Foundation](#)*
- 1.3.9 [United Board of Christian Higher Education in Asia](#) (UBCHEA)
- 1.3.10 [Environmental and Conservation Fund](#) (ECF)
- 1.3.11 Community Development Initiative Fund
- 1.3.12 [China Fortune Foundation](#)
- 1.3.13 [Council for the AIDS Trust Fund](#)
- 1.3.14 Lee Hysan Foundation
- 1.3.15 [Wofo Foundation](#)
- 1.3.16 [World Wildlife Fund of Hong Kong](#)
- 1.3.17 [Beat Drug Fund](#)
- 1.3.18 Cultural Grants of Shenzhen Government Development Council
- 1.3.19 [Chiayi Government Cultural Fund, Taiwan](#)

A brief description of these grants (and their website addresses, if applicable) are given at Annex 1. Grants which are marked with an asterisk (*) primarily support applied research projects.

2. PREPARATION OF RESEARCH PROPOSALS

The following guidelines (paragraphs 2.1-2.9) apply mainly to RGC and internal grants. Other grants supported by other funding bodies may also adopt these guidelines for use if they do not have their own specific guidelines to follow.

2.1 Principal Investigators

For FRG proposals, only full-time HKBU academics at the rank of Research Assistant Professor or above are eligible to apply. On a case-by-case basis and subject to the approval of the Research Committee, full-time administrators may also apply for FRG grants in the capacity of principal investigators.

2.2 Application Forms

Calls for applications for RGC Grants and Internal Grants are announced via e-mail during the academic year while some funding bodies would contact relevant departments directly such as LF. While many grant applications can be submitted online, standard forms are still available for FRG and RGC applications for reference purpose only. These forms are downloadable from the [Research Grants website](http://buar.hkbu.edu.hk/index.php/for_staff/research/research_grants). [http://buar.hkbu.edu.hk/index.php/for_staff/research/research_grants]. Please refer to Annex 1 for further details.

2.3 Variable Quota System for FRG Projects

Note

With effect from the 2010/2011 academic year, the maximum number of FRG projects an academic may hold concurrently is 2 but the actual number could be less depending on whether he/she had made any HKBU-endorsed GRF (or equivalent¹) submissions in the previous two academic years. Detailed provisions of the System are as follows:

- a. The maximum FRG quota for an academic is 2.
- b. If an academic has no HKBU-endorsed submission as PI for GRF or equivalent proposals in a given academic year, his/her FRG quota for the next academic year will be 1.
- c. If an academic has no HKBU-endorsed submission as PI in 2 or more consecutive years, his/her FRG quota will be 0 unless the grant application is supported by special justification (as to why no GRF or equivalent proposals have been submitted).
- d. In all cases, once the academic has resumed submitting HKBU-endorsed GRF or equivalent proposals as PI in any academic year, the FRG quota is restored to 2 for the next academic year.
- e. Notwithstanding the above, all FRG projects approved previously are permitted to proceed.
- f. FRG Cat II derived from GRF ranked 3.5 applications will be counted towards the quota.

Example:

Academic Year 2011-2012:

- For an academic who has one or more HKBU-endorsed GRF or equivalent submissions as PI in 2010-2011 and no submission as PI in 2009-2010, his/her FRG Cat II quota for 2011-2012 will be 1.
- For an academic who has one or more HKBU-endorsed GRF or equivalent submissions as PI in 2010-2011, his/her FRG Cat II quota for 2011-2012 will be 2.
- For an academic who has no submission as PI in both 2009-2010 and 2010-2011, his/her FRG Cat II quota for 2010-2011 and beyond will be 0.

Notes:

- a. External competitive grants, in particular GRF, are the preferred choice because of their rigorous peer-review process.
- b. GRF Proposals are usually submitted almost one academic year ahead (e.g. GRF proposals for 2011-2012 were submitted in November 2010, and this submission was counted as submission in 2010, not 2011).
- c. For new academic staff, his/her FRG quota is 2 in the first academic year but will come under the Variable Quota System from the second year on.
- d. A move in this direction aims to raise academics' aspiration for a higher research standard through competitive bidding. Success in obtaining external grants will also give the Principal Investigators (PIs) a choice to admit RPg students over the

¹ GRF equivalent submissions are those external competitive grants with a peer review process.

funded target.

Note

- e. The Research Committee has resolved that from 2011-2012, FRG eligibility would be limited to those who have published at least one publication/research outputs in the immediate past two years and who have submitted GRF (or equivalent) proposals in the immediate past exercise.

2.4 Application Deadlines

Grant Type	Usual Application Deadline
RGC General Research Fund (GRF)	November
RGC Collaborative Research Fund (CRF)	June
Public Policy Research (PPR)	November
Strategic Public Policy Research (SPPR)	July
FRG CAT I	Year round *
FRG CAT II	2 rounds per year (March, November)
FRG Conference Grant	2 rounds per year (March, October)
Croucher Foundation's Senior Research Fellowship Scheme	May
Croucher Foundation Conference and Seminar Sponsorships	January
Health & Health Services Research Fund (HHSRF)	November
Research Fund for the Control of Infectious Diseases (RFCID)	November
Health Care & Promotion Fund (HCPF)	July
Innovation & Technology Fund (ITF)	ITSP-TCFS - July
	GSP - Year round (January, April, July & October)
	GSP (Internship Programme) -Year round
	UICP - Year round
	SERAP - Year round
Quality Education Fund (QEF)	Year round
France/HK Joint Research Scheme (JRS)	May
Germany/HK Joint Research Scheme (JRS)	June
Spain/HK JRS and Netherlands/HK JRS	November
NSFC/RGC JRS (Initial Application)	January
(Formal Application)	April
S K Yee Medical Foundation	January
United Board of Christian Higher Education in Asia	November

* **NOTE** It cannot be guaranteed that applications received on or after 1 May can be considered and funded before the expiry of the same financial year, i.e. 30 June. (1 July - 30 June of the next year being one financial year).

2.5 Budget Estimates

A research budget should cover the following items with detailed justifications:

2.5.1 Research Support Staff

- Posts/Ranks:
Research Officer, Visiting Research Scholar, Research Associate, Research Assistant and Student Research Assistant.
Note: a. Wherever possible, the appointment of Student Research Assistant is encouraged.
b. For appointment of Research Associate and above, a strong justification is required.
- Duties and assignments of research support staff should be described clearly and related to the individual concerned by the Principal Investigator.
- Based on the need of each case, the appointment can be made on a full-time or part-time basis and for a period as the case warranted.

**PAY POINTS for Research Support Staff with effect from 1 September 2011
2011-2012 Academic Year**

2011-2012 Academic Year				
Salary Grade	RA Pay Points	Monthly Pay		Entry Requirement
		Appointee's Actual Pay	Amount Used for Calculating Budget for 1/12/00 onwards	
		A	B=108% of A	
Research Fellow / Senior Research Associate	23	29,000	31,320	PhD w/ relevant postdoctoral experience or Master's degree w/ substantial experience in the relevant field
	22	28,000	30,240	
	21	27,000	29,160	
	20	26,000	28,080	
	19	25,000	27,000	
Research Associate	18	24,000	25,920	PhD or Master's degree w/ 4 to 5 years of relevant experience
	17	23,000	24,840	
	16	22,000	23,760	
	15	21,000	22,680	
	14	20,000	21,600	
Senior Research Assistant	13	19,000	20,520	Master's degree or First degree w/ at least 3 years of post-qualification research experience
	12	18,000	19,440	
	11	17,000	18,360	
	10	16,000	17,280	
	9	15,000	16,200	
	8	14,000	15,120	
Research Assistant	7	13,000	14,040	First degree w/ some working experience
	6	12,000	12,960	
	5	11,000	11,880	First degree
	4	10,000	10,800	
	3	9,000	9,720	
Junior Research Assistant	2	8,000	8,640	Higher Diploma or Associate degree
	1	7,700	8,316	
Information below is for reference only				
Research Student		Years 1-3	13,600	Monthly studentship to research student (w.e.f. 1 Sept 11)
Student Research Asst		45 per hour	49 per hour	Current University Student
Student Helper		40 per hour	42 per hour	(w.e.f. 1 July 07)

Notes:

1. Column A represents the net salary to be received by appointees with effect from 1 September 2003 before his/her own contribution to the MPF Scheme if he/she is to join the Scheme.
2. Column B represents the salary, medical cost (3% of salary) and employer's MPF contribution (5% of salary) to be charged to the research project for appointees whose appointment is from 1 December 2000 onwards. The medical cost is used to provide medical benefits for the appointee only under the New Medical Scheme.
3. The principal investigator may appoint a research support staff or visiting research scholar at a pay point commensurate with the candidate's qualifications and experience. No automatic yearly increment is assumed between PAY POINTS.
4. For any deviation from the pay points, please consult the Personnel Office.

Salaries

- Research support staff should be paid according to the Research Committee's approved/recommended pay rates.
- The Research Committee will stipulate a set of projected pay points for principal investigators to work out their estimated budgets. The budget should include salary, medical cost (3% of salary) and employer's Mandatory Provident Fund Contribution (5% of salary).
- Severance payments (provided by budget controllers) are required for completion/termination of contracts for all Research Support Staff who have been continuously employed for 2 years or more.
- Gratuity payments are possible should it be allowed by the grants (e.g. GRF, CRF).

2.5.2 Computing Equipment

- Computing equipment will only be provided if it is part of an equipment set-up in a research project. The Committee will not provide personal computers (or notebooks) to academics or research support staff.
- Request for computing equipment should be accompanied by technical specifications and a cost estimate. Cost estimates can be obtained from the Office of Information Technology (ITO). The cost of computing equipment must be included in the proposed budget.

2.5.3 Specialised Equipment

Detailed explanation and cost estimates should be given for each requested piece of specialised equipment. For FRG proposals requesting an equipment item which is already available in the University or accessible in other UGC-funded institutions, valid reasons must be given to justify why an extra one is needed. Cost estimates can be requested from the Finance Office.

At the completion of the project, the equipment will be returned to the Faculty/School for redeployment.

2.5.4 Overseas Travel

For GRF Projects

- conference charges up to \$12,000 times duration of the project in years; proportion on pro rata basis (the GRF does not support **LOCAL** conference participation).
- on the understanding that corresponding expenditure items are included in the approved budget of the proposals, per diem token subsidy (to cover meals, local transportation, lodging, etc.) will be provided if not claim on actual basis (please refer to the [FO homepage](#)
- [http://www.hkbu.edu.hk/~fohome/internal/subsistence_090701.pdf] for the daily subsistence allowance rate).
- airfare (or train fare) at economy/third class rate (rider: subject to quotation guidelines set by the Finance Office).

Note

For FRG Projects

- strong justifications are required for overseas travel. As a rule, the Research Committee would consider such requests only if the proposed research plan cannot be carried out locally.
- funding for overseas travel will only be granted to investigators who are **full-time** staff members of the University. If staff of other institutions are collaborating in the research, the corresponding institutions are expected to provide partial funding for the project.
- *CAT II projects only: conference/publication charges up to \$10,000 is given to PI*

for attending recognized international conference related to the project and dissemination of research results.

- subsidy for research-related trip in approved budget up to \$11,000 per trip. Expenses that are reimbursable on actual basis include airfare, meals, local transportation, lodging.
- Per diem token subsidy (to cover meals, local transportation, lodging, etc.) will be provided if not claim on actual basis (please refer to the [FO homepage](http://www.hkbu.edu.hk/~fohome/internal/subsistence_090701.pdf) [http://www.hkbu.edu.hk/~fohome/internal/subsistence_090701.pdf] for the daily subsistence allowance rate). **(rider: up to 20 days per project)**
- airfare (or train fare) at economy/third class rate (rider: subject to quotation guidelines set by the Finance Office)

The following details should be provided:

- Purpose and duration of the travel
- Travelling route

The investigator should write down the estimated transportation costs; the exact amount to be funded will be based on the quotation provided by the Finance Office at the time of ticket purchase.

2.5.5 Per Diem Amount

- On the understanding that the approved budget of projects has included a provision for per diem amount to cover the cost for meals, local transportation, lodging, etc for research-related trip(s), the Research Committee stipulates per diem support (up to a maximum of 20 days for FRG projects). Please refer to the [FO homepage](http://www.hkbu.edu.hk/~fohome/internal/subsistence_090701.pdf) for the daily subsistence allowance rate
- [http://www.hkbu.edu.hk/~fohome/internal/subsistence_090701.pdf] .
- For the purpose of calculating the amount, Principal Investigators are required to submit to the Finance Office the **original** boarding passes/train tickets/receipts for lodging etc. as confirmation of the length of stay of the travel trip. **The Principal Investigators are advised to keep the receipts of major expenditure items of the trip for possible future tax enquiries.**

2.5.6 General Expenses

- 'Miscellaneous' includes items such as stationery, computer paper, fax, postage, etc. Should substantial amount of such items be required for a project, a separate budget for each item will be necessary. A maximum amount of HK\$1,000 and HK\$2,000 can respectively be included for CAT I and CAT II projects.
- 'Consumable' materials - chemicals, gases, glassware, test-tubes, films, tapes, etc. fall into this category.
- Honorarium - costs related to employment outside Hong Kong (e.g. the Mainland) are considered as honorarium/consultancy service under General Expenses. Honorarium and consultancy should be built into the proposal's budget at the time of proposal approval - virement of budget heads hereafter is not encouraged. Instead of the current rate applied to research support staff, remuneration commensurate to local (place of origin of research personnel) rate of payment should be applied. It is suggested that the rate for honorarium should not exceed 2,500 RMB/month for research support personnel employed in China. The number of staff employed has to be kept to a minimum and the duration of the employment has to be specified. Strong justification needs to be given on work which must be carried out outside Hong Kong. Consultancy fee and honorarium payment should be meted out sparingly and with discretion.
- Purchase of specialized books and other research materials that are needed for the project is allowed only if these items are not available by any means other than by purchase.
- Medical Surveillance Programme – for research personnel that would involve the

Note

use of organophosphate and 2,3,7-8 TCDD as well as other highly toxic chemicals suggested by the Laboratory Safety Sub-Committee. For programme details, please contact the Environment Health and Safety Unit (EHSU) of the Estates Office.

2.6 Payment of Honorarium

If the item “Honorarium” is NOT included in the original budget allocation, reimbursement and/or virement requests for payment of honorarium are acceptable ONLY under the following circumstance:

The case, well justified, is to be supported and endorsed by both the respective Department Head and Faculty/School Dean and then forwarded to the Chairman, Research Committee for approval. Attach the curriculum vitae of the person to whom honorarium is to be paid. If the PI happens to be the Head of Department, then the request should be forwarded to the Dean and then to the Chairman, Research Committee for approval. If the PI happens to be the Dean, then the request should be forwarded to the Chairman, Research Committee direct for approval. Approval is granted on the understanding that no additional funding is incurred.

PIs must submit written request to the Chairman of Research Committee for approval if they wish to offer souvenir/gift to replace honorarium to the invited person.

2.7 Guidelines on Seeking External Consultancy Service for Research Projects

Hiring external consultancy service for research projects is not encouraged as a rule. The Research Committee would however support external consultancy services for which an honorarium is paid under exceptional circumstances. Because of the wide variations in the nature of external consultancy services, it is not possible to draw up a set of hard-and-fast rules for approving or disapproving such requests. It is left to the discretion of the Research Committee’s Specialist Panels to make final decisions in such cases*.

As a general rule, external consultancy service may be approved in the following circumstances:

- a. testing and equipment support which are not available at the University;
- b. logistic support[#] of research which could not be carried out locally; and activities which the investigators and their research team (research assistants, student research assistants, student helpers) have difficulty in carrying out themselves.

In deciding on each request, the Specialist Panels will pay special attention to:

- a. the integrity of the data arising out of the consultancy service, as in some cases, the consultancy agents are paid to provide the data, whether directly or indirectly; and
- b. the possibility (though not likely) that the agents commissioned for the consultancy service are actually the ones who carry out the bulk of the research work, rather than the investigators themselves.

Remark:

* For GRF projects, RGC approval would be required for sub-contracting research service.

[#] Such logistic support may be in the form of: survey, sampling, personal interviews, questionnaire handling, etc.

2.8 Curriculum Vitae

All project investigators are requested to submit a brief CV relevant to the proposed area of research.

For FRG projects, the following basic information is sufficient as regards the brief CV:

- education history;
- employment history;
- publication list (for the previous 5 years); and
- research activities (for the previous 5 years).

2.9 Administrative Guidelines on the Protection of Intellectual Property Rights

Please refer to the Staff Handbook issued by the Personnel Office or visit the [Personnel Office Website](http://www.hkbu.edu.hk/~pers/) [<http://www.hkbu.edu.hk/~pers/>] (Go to “General Guidelines”).

3. SUBMISSION OF RESEARCH PROPOSALS

Research proposals should be submitted to the Research Committee via the Graduate School on or before the application deadlines.

For internally funded FRG applications, CAT I proposals are evaluated by the 3 Specialist Panels of the Research Committee throughout the academic year. For CAT II proposals, the deadlines for the 2 rounds fall in November and March respectively of the next year. Announcements on invitations for applications will be sent by email. Proposals received after a deadline will be considered in the subsequent round.

Generally, applications for external grants will be vetted by the Deans of Faculties/Schools and the Chairman of Research Committee before being forwarded to the corresponding funding bodies.

4. DISBURSEMENT, ACCOUNTING AND MONITORING ARRANGEMENTS FOR ALLOCATION FROM THE EARMARKED RESEARCH GRANT

Please refer to Annex 2 and *STUDY these guidelines CAREFULLY*. The updated version of the Disbursement Guidelines is also obtainable from the [RGC website](http://www.ugc.edu.hk/eng/rgc/form/form.htm) [<http://www.ugc.edu.hk/eng/rgc/form/form.htm>].

5. REIMBURSEMENTS/VIREMENTS FOR RESEARCH GRANT EXPENDITURES

The University is moving towards a one-line budget. Thus, the need to apply for virement requests among various budget heads would be reduced to a minimum. Nonetheless, as the University is held accountable to public funding agencies, it has laid down the following rules to be complied with:

- a. Expenditures NOT supported from project allocations:
(for both GRF and FRG projects)
 - Application fee for visa or similar document (except for employment of non-local research staff)
 - Membership fee for academic/professional body
 - Notebook computer
 - Desktop computer [unless it is part of an experimental setup in approved budget]
 - Entertainment charges
 - Remuneration to co-investigator(s)

b. Special items that may be included in the Reimbursements Claims:

For GRF Projects

- honorarium (endorsements from head of department, dean and chair of the Research Committee may be required; see section 2.6 for details)
- NTT accommodation for invited scholar(s) without honorarium payment

For FRG Projects

- subsidy for research-related trip in approved budget up to \$11,000 per trip. Expenses that are reimbursable on actual basis include airfare, meals, local transportation, lodging.
- on the understanding that corresponding expenditure items are included in the approved budget of the proposals, per diem token subsidy (to cover meals, local transportation, lodging, etc.) will be provided if not claim on actual basis. (rider: up to 20 days per FRG project) Please refer to the [FO homepage](http://www.hkbu.edu.hk/~fohome/internal/subsistence_090701.pdf) [http://www.hkbu.edu.hk/~fohome/internal/subsistence_090701.pdf] for the daily subsistence allowance rate.
- airfare (or train fare) at economy/third class rate (rider: subject to quotation guidelines set by the Finance Office).
- honorarium (endorsements from head of department, dean and chair of the Research Committee may be required; see section 2.6 for details).
- NTT accommodation for invited scholar(s) without honorarium payment.
- *CAT II projects only: conference/publication charges up to \$10,000 is given to PI for attending recognized international conference related to the project and dissemination of research results.*

For GRF Projects

- no expenditures are permitted **UPON PROJECT COMPLETION** (Exception: Please refer to *para. 15* of Annex 2)
- **original** receipts must be submitted to the Finance Office for reimbursement
- for travel/transportation charges like airfare or bus/coach/train fare, **original** boarding passes and fare stubs are to be submitted for reimbursement
- * Please refer to Section 8 “Publication of Research Results”

For FRG Projects

- no expenditures are permitted **UPON PROJECT COMPLETION**
- **original** receipts must be submitted to the Finance Office for reimbursement
- For travel/transportation charges like airfare or bus/coach/train fare, **original** boarding passes and fare stubs are to be submitted for reimbursement
- Virements between projects are not allowed and unspent balance would be returned to RC.

6. EXTENSION OF COMPLETION TIME

Completion deadlines should be strictly adhered to.

For GRF projects, please refer to *para. 24 (f)* of Annex 2. (Application form for “Request to Extend Completion Deadline of GRF/FRG Projects” can be downloaded from the Academic Registry website [http://buar.hkbu.edu.hk/index.php/download_area/download_for_staff#d3]).

For a FRG project, should the investigator encounter difficulty in meeting the completion deadline, an update together with a request for extending the completion date should be forwarded to the Research Committee for consideration prior to the due date. **FRG CAT I projects: Maximum period of extension is 1 year; FRG CAT II projects: Maximum period of extension is 2 years.** (*Starting from January 2009, extension requests for FRG projects would be submitted and processed through the U-Wide Research Project System (RPS) via UIS*).

7. SUBMISSION OF COMPLETION REPORTS

Completion Report for RGC-funded Projects [<http://www.ugc.edu.hk/rgc/>]

For GRF projects funded in the exercise of 2004/05 and thereafter, completion reports should be submitted online through the GRF Electronic System not later than 9 months after the approved completion date of the project.

One set of the report and resulting publications should be submitted to the RGC via the Research Committee. Upon receipt of the Completion Reports, the Research Committee will notify the Finance Office to close the respective accounts accordingly.

Annual or Mid-Term Progress Report for RGC-funded Projects [<http://www.ugc.edu.hk/rgc/>]

As required by the **RGC**, each principal investigator is to submit an online Annual or Mid-Term Progress Report in respect of each of their projects by 31 March / 30 June each year to document the work carried out in the previous year. However, progress reports are not required in the 1st year for those newly-funded projects.

Completion Report for FRG Projects

Principal investigators of **FRG** projects are required to submit a completion report of standard format within 6 months of project completion. ***For projects funded in Round 1, 2008/2009 and before, a standard project completion form is downloadable from the [Research Grants website](#). For projects funded in Round 2, 2008/2009 and thereafter (i.e. through the RPS via UIS; project number is FRG/1 or 2/08-09/xxx), the completion report would have to be submitted through the RPS.*** Upon receipt of the Completion Reports, the Research Committee will notify the Finance Office to close the respective accounts accordingly.

Note

With effect from 2010/2011, if a Principal Investigator has any outstanding completion report, they would not be permitted to submit another FRG application (both CAT I and CAT II) until their record is cleared.

Completion Report for Conference Grants

Proposers of conference grants funded by the Research Committee are required to submit a completion report within 6 months after a conference is held. A standard conference completion form is downloadable from the [Research Grants website](#).

All completion reports are circulated to respective Panel members and/or members of the Research Committee for review and comments and then filed in the University Library after being properly indexed.

8. PUBLICATION OF RESEARCH RESULTS

Principal investigators are encouraged to publish the results of their research projects in books or peer-reviewed journals.

(1) RGC Supported Projects (GRF projects) ONLY

Expenses that are strictly necessary for dissemination of research results, i.e. essential publication work (page charge and/or submission fees for articles published in refereed journals) will be reimbursed. Naturally the publication(s) is/are related to the research projects to which the expenses are charged.

Claims for reimbursement are acceptable only SHORTLY (approximately 6 months) after the project completion date.

The PI is to arrange with the Finance Office for reimbursement.

- Note (2) Faculty Research Grants
With effect from the academic year of 2011/2012, Cat II projects support publication charges up to \$10,000 for dissemination of research results.

9. TERMINATION OF RESEARCH PROJECTS

Note In case there is the need to terminate a project as a result of the departure of the PI, the respective project account will be closed on the last pay date of the PI by the Finance Office. The PI must clear all the bills/claims before departure and is required to submit a concluding report to the Research Committee before the departure. The PI may submit a request (please refer to Annex B of Annex 2) to the RGC (for GRF/PPR/SPPR etc) via the Research Committee or write to the Chairman of the Research Committee (for FRG) to transfer the project to Co-I(s) who is available and has been involved in the project since commencement.

10. ACKNOWLEDGMENT

A suitable acknowledgement of support should be included in any report/publication in respect of any research project funded in whole or in part by a funding body. The funding body is to be mentioned and the project code to be quoted in all acknowledgement of support. The following statement is to be used in all acknowledgements "The author(s) acknowledge(s) with gratitude the generous support of the (funding body) for the project (project title: xxxx) without which the timely production of the current *report/publication* would not have been feasible."

11. SUBMISSION OF INFORMATION FOR RESEARCH REPORTS

11.1 Annual Report on Research Activities

The RGC calls for submission of an Annual Report on Research Activities in August each year (assessment period covered - July to June of the following year). Data included in the Report are to match with the reports submitted for the University Grants Committee's Common Data Collection Exercise.

11.2 Reports on Publications

Note The Research Committee produces online research report each year (period covered: July to June of the following year) on all research activities, funded or non-funded, conducted by staff members and research postgraduate students in the corresponding academic year. Investigators are requested to provide a list of their publications which would be included in the research reports. Reports would be mounted in the [Research Grants website](#) under "Research Publications".

The Research Committee appreciates the cooperation and assistance from staff members.

TYPES OF RESEARCH GRANT

1. Research Grants Council (RGC) [URL:<http://www.ugc.edu.hk/rgc/>]

1.1 RGC General Research Fund (GRF) / Early Career Scheme (ECS)

The RGC sponsors UGC General Research Fund projects that are at least **HK\$150,000** for the fields of Science, Engineering and Biology & Medicine. The threshold for research projects in the field of Humanities, Social Sciences & Business Studies is **HK\$100,000**. Although there is no upper limit for the funding, the RGC states that, given the considerable competition for the funds available, the justifications for very expensive projects (over HK\$1 million) will need to be particularly well argued and supported. With effect from the GRF 2002/03 Exercise, the Individual Research Grant (IRG) is introduced as a pilot introduction within the GRF: The grant for individual research is open for applications in the fields of Humanities & Social Sciences and Business Studies only. With effect from the GRF 2007/08 Exercise, two special funding templates are introduced: Employment of Relief Teachers under Humanities Sub-Panel and Provision of Research Experience for Undergraduate Students.

New

With effect from 2012/13 Exercise, new appointees within the first three years of his/her full-time academic job as substantiation track/tenure track Assistant Professor or career equivalent are encouraged to apply under Early Career Scheme (ECS). They may choose to submit their applications under the GRF or the ECS but not both in each funding cycle.

Applications are received once a year and notification will be made via email.

All applications or requests for changes to RGC funded projects must be forwarded to the RGC via the Research Committee of the University.

Eligible academics would be able to access the online application form from the GRF Electronic System. All RGC applications are vetted by the Deans and the Chairman of the Research Committee before being submitted to the RGC.

As the external application deadline usually falls in *early November*, the Research Committee therefore sets the internal application deadline in *mid-October* in order to allow sufficient time for internal vetting, polishing and editing of the applications before submitting them to the RGC.

The University will be notified of the competitive bid results by end of June of the following year. Funding and External Referees' reports are received in August.

1.2 RGC Collaborative Research Fund (CRF)

A sum of about \$50 million is set aside from the Earmarked Research Grant annually for Collaborative Research Fund by the RGC to support major research facilities/equipment for collaborative projects and group research projects across disciplines and/or across institutions. The RGC also entertains proposals for funding to support major library acquisitions for research purposes.

The RGC calls for proposals once a year at around March-June. Each institution may submit up to a total of 10 proposals, inclusive of both equipment and group research proposals but there are no further restrictions on the number of equipment or group research proposals to be submitted within the maximum quota. The Faculty/School deans will receive a notice from the Research Committee requesting them to coordinate proposals from their respective Faculties/Schools. Notification will also

be made via email. Proposals should provide:

- adequate information about the research facility/equipment/collection for decision-making by both specialist and non-specialists;
- outlines of possible collaborative research projects for which the acquisition is required;
- the total cost as well as the funding sought from the RGC Collaborative Research Fund that is likely to be obtained from the sources if an RGC grant is approved; and
- an indication of the support of at least two UGC-funded institutions.

1.3 Public Policy Research (PPR)

To reinforce the policy research capability and to promote public policy research in higher education institutions, an amount of \$20 million (including up to 15% overhead cost for use by the UGC/RGC Secretariat) will be allocated from the Central Policy Unit (CPU) to the RGC annually for **four more** years, i.e. from 2008-09 to 2011-2012 financial years. A broad definition of 'public policy research' is adopted to cover academic research that will have explicit policy implications on public policy development in Hong Kong. The threshold limit for applications is \$300,000.

1.4 Strategic Public Policy Research (SPPR)

To support longer term public policy research projects, the Central Policy Unit (CPU) of the Government of HKSAR has decided to deploy half of the \$20 million annual provision to launch the SPPR once a year starting from 2008/09. The objective is to facilitate more longer term public policy research and to focus efforts on specific areas. Inter-disciplinary or inter-institutional collaboration is encouraged but not a requirement. This exercise will run once a year from 2008-09 to 2011-2012.

All applications or requests for changes to RGC funded projects must be forwarded to the RGC via the Research Committee of the University.

2. Internal Grants

2.1 Faculty Research Grant (FRG)

FRG research proposals are categorized as follows:

2.1.1 Category I -

Budget limit - \$50,000 and below

CAT I proposals are received throughout the year.

Number of Assessor - 1 Internal Assessor

2.1.2 Category II -

Budget limit - above \$50,000 to \$100,000 (ARTS & SOSC, BUS, COMM & AVA)

Budget limit - above \$50,000 to \$150,000 (SCM & SCI)

CAT II applications are received twice a year with the invitations and deadlines announced via email.

For the purpose of determining the number of assessors, the following guidelines are adopted:

- \$100,000 and below (after excluding the cost of computing equipment, if any) - 2 internal assessors.
- above \$100,000 (after excluding the cost of computer equipment, if any) - 2 internal assessors PLUS 1 external assessor / 1 internal assessor PLUS 2 external assessors.

Principal investigators are requested to nominate 2 external assessors for their project.

2.2 FRG Conference Grant

- 2.2.1 Funding limit: \$100,000 or below per application.
- 2.2.2 Application deadlines: the deadlines for the 2 rounds fall in October and March. Applications should reach the Research Committee 9 months before the Conference is held, especially in the case of an international conference. All applications must obtain the endorsement of the appropriate Head of Department and Dean before forwarding to the Research Committee for consideration.

Note

With effect from the academic year of 2011/2012, the Deans will need to provide a one-to-one matching for each application having regard to the merits of the event.

- 2.2.3 Proposals for Conference Sponsorship must include the following:
- dates
 - venue
 - theme/aims and objectives
 - organizing committee
 - programme committee
 - keynote speaker(s)
 - panel chair(s)
 - estimated budget (including speakers' fees, conference/registration fee, **sponsorship and donation**)
 - expected number of participants (Faculty, whose students are likely to benefit from a conference, should be encouraged to bring their students along to the conference)
 - publication details and programme information
- 2.2.4 Assessment Criteria
- Priority given to international conferences with significant participation by HKBU colleagues. Conferences of a local nature will be considered only on strong academic merit.
 - The proposed conference should be able to attract participants who are well-known scholars in the field.
 - The proposed conference should benefit our staff and students and bring credit to the University.
 - The theme of the proposed conference should reflect the research strength of the University or is related to an area with substantial academic interest.
 - Organizers of the proposed conference should demonstrate the ability to attract sponsorships from commercial firms, educational foundations or charitable organizations.
 - Publication of proceedings either in the form of a special issue in an international journal, or as a book by an international publisher would be an additional criteria to assess an application.

3. External Grants

3.1 Croucher Foundation (CF) [URL: <http://www.croucher.org.hk>]

The Croucher Foundation offers a Senior Research Fellowship Scheme, an Advanced Study Institutes programme, a Chinese Visitorship Programme, and sponsorships for conference in the area of natural sciences, technology and medicine.

The Senior Research Fellowship Scheme was started in the 1997/98 academic year to provide opportunities for scientists in natural sciences, technology and medicine to be relieved of all teaching and administrative duties for a period of one year to do full-time research. The research fellows should be between 30 and 55 years of age and should be members of staff who are in a position to provide needed expertise and inspiration in research in their departments/centres in the University, and are ready and capable of undertaking collaborative research with other colleagues. The

Croucher Foundation will usually invite nominations from the University around March each year.

The Advanced Study Institutes programme aims to regularly bring to Hong Kong leading international experts in specific fields, to conduct refresher programmes for established scientists in highly focused scientific topics. These experts will give lectures about their latest discoveries, discuss their experiences of up-to-date developments, offer their views on current problems, and conduct a few days of intensive discussion alongside demonstration and visual presentations. The interactions and brainstorm process will hopefully bring to all participants newer and fresher perspectives in their work, and inspire them to re-focus or re-develop their directions in scientific work. Applications for the programme are usually invited in November each year.

The Chinese Visitorship Programme provides funds to enable scientists under 45 years of age in mainland China to come to Hong Kong to do academic attachments in one of the institutions in Hong Kong. The attachment may be for training, collaborative research and giving lectures and workshops to staff and students in the recipient institution. The Visitorships are nominated by the relevant Faculties around May each year.

The Foundation also provides financial support for conferences and seminars. Currently, the number of requests from each institution is restricted to four each year and the amount of grant requested per event should not exceed HK\$100,000. The Foundation confines its interest to conferences and seminars which are of direct benefit to Hong Kong and not those which happen to be conveniently held here. The topics must explicitly be in the fields of natural science, technology or medicine. The University usually receives the application invitation from the Foundation in October every year. Detailed information will be disseminated through relevant Schools/Faculties/Centres.

3.2 Health and Health Services Research Fund (HHSRF)/Research Fund for the Control of Infectious Diseases (RFCID)/Health Care & Promotion Fund (HCPF) [URL: <http://www.hwfb.gov.hk/grants>]

The Government has established several health related research funds to optimize public health and to enhance the efficiency and effectiveness of health service. The three health research funds are administered under the purview of the Research Office of the Food and Health Bureau.

3.3 Innovation & Technology Fund (ITF) [URL: <http://www.info.gov.hk/itc/>]

The objective of this scheme is to enhance the competitiveness of the local manufacturing industry through the provision of financial assistance for industrial support programmes. Examples of projects to be funded are those which aim to provide a communal industry support service, introduce new techniques of manufacturing, increase productivity or enhance the infrastructural support to industry.

3.4a France/HK Joint Research Scheme (FRAN/HK JRS) [URL: <http://www.rgc.edu.hk>]

Funded jointly by the Consulate General of France (CGF) in Hong Kong and the Research Grants Council of Hong Kong (RGC), the joint research scheme serves to promote scientific “academic” research collaboration amongst Hong Kong and French researchers. Applications are invited around May each year. There is no quota on the number of applications to be submitted for each institution. The pilot scheme was launched in May 1998.

3.4b Germany/HK Joint Research Scheme (GER/HK JRS)

[URL: <http://www.rgc.edu.hk>]

The Scheme is jointly run by the German Academic Exchange Service (DAAD) and the Research Grants Council (RGC) and provides grants for a series of exchanges to support scientific “academic” cooperation between Hong Kong and German researchers. Applications are invited around June each year. There is no quota on the number of applications to be submitted from each institution.

3.4c NSFC/RGC Joint Research Scheme (NSFC/RGC JRS)

[URL: <http://www.rgc.edu.hk>]

Funded jointly by the National Natural Science Foundation of China (NSFC), and the Research Grants Council (RGC), the Schemes serves to promote collaboration in the research between researchers / research teams in Hong Kong with their counterparts in the Mainland in areas of common interest on the basis of complementing the existing strength of both sides. The pilot scheme was launched in February 1999. The priority areas for support under the scheme are:

- Information Technology
- Life Sciences
- New Materials Science
- Marine and Environmental Science
- Chinese Medicine
- Management Science

3.4d Economic & Social Research Council/RGC Joint Research Scheme (ESRC/RGC JRS)

[URL: <http://www.esrc.ac.uk/hkbilateral>]

In November 2007, the UK ESRC and RGC have reached a bilateral agreement to foster collaboration between social scientists in UK and Hong Kong. In this connection, ESRC and RGC have agreed to launch a pilot initiative to support collaborative research proposals from researchers in UK and Hong Kong. ESRC is the co-ordinating and administering body for this newly launched UK/HK JRS.

3.4e Spain (CSIC)/RGC Joint Research Scheme *[New]*

[URL: <http://www.rgc.edu.hk>]

The scheme is established in collaboration with the Spanish National Research Council (Agencia Estatal Consejo Superior de Investigaciones Científicas, CSIC) to promote research collaboration between Hong Kong and Spain by providing researchers in the two places with two-year travel grants.

3.4f Netherlands (NWO)/RGC Joint Research Scheme *[New]*

[URL: <http://www.rgc.edu.hk>]

The scheme is established with Netherlands Organisation for Scientific Research (NWO) to promote research collaboration between Hong Kong and the Netherlands. The Scheme offers travel grants to support scholarly collaboration between individual Hong Kong and Dutch researchers as well as workshop grants to sponsor workshops held in Hong Kong and the Netherlands. Research collaboration proposals under the following subject areas are eligible for application: Astronomy, Chemistry, Mathematics and Computer Science.

3.5 Language Fund (LF)

In October 1996, the Standing Committee on Language Education and Research (SCOLAR) was set up to provide an institutional framework to enable research to be conducted on language education needs of Hong Kong and to be in charge of the overall administration of the Language Fund. Every year, SCOLAR invites proposals and initiatives on an organisational or individual basis that will help improve the proficiency in the use of Chinese (including Putonghua) and English language by

students, teachers and/or people at work in Hong Kong. The Language Fund constitutes a significant source of funding for research projects in language education and colleagues are encouraged to actively apply for this Fund to support their research projects in this special area. SCOLAR usually invites applications from the University every year. In addition, SCOLAR may also invite research applications from interested organisations or individuals to undertake specified projects from time to time. Detailed information will be disseminated through the relevant Schools/Faculties/Research Centres.

3.6 Occupational Safety and Health (OSH) Research Grant

[URL: <http://www.oshc.org/hk/>]

This Research Grant was set up by the Occupational Safety and Health Council (OSH Council) in 1998. The OSH Council is a statutory body set up with an objective to foster greater awareness on safety and health among the community, to promote and disseminate technical knowledge as well as to conduct and encourage research programmes relating to occupational safety and health. The Research Grant was established to fund well-conceived research projects in this area. The OSH Council usually invites applications from the University only when there is a determined research theme. Detailed information will then be disseminated through relevant Schools/Faculties/Research Centres.

3.7 Quality Education Fund [URL: <http://www.info.gov.hk/qef/>]

In October 1997, the Chief Executive announced in his Policy Address the establishment of the Quality Education Fund (QEF) to finance projects for the promotion of quality education in Hong Kong. The establishment of the QEF is one of the major recommendations of the Education Commission Report No. 7 (ECR7). Formally established on 2 January 1998 with an allocation of \$5 billion, the QEF provides an effective channel for worthwhile projects from the school education sector to be funded.

The QEF mainly caters for worthwhile non-profit making initiatives within the ambit of basic education, i.e. pre-primary, primary, secondary and special education.

Applications would be submitted through the QEF's online application system at: "<http://qef.org.hk/eng/index.htm>". In case of queries the QEF Secretariat can be contacted.

3.8 S K Yee Medical Foundation

The S K Yee Medical Foundation is a charitable trust established by the late General S K Yee in 1983. The objectives of the Foundation are: 1) to establish medical services for the poor and sick and provide equipment and apparatus for such services; 2) to provide medical education; 3) to acquire and/or construct, maintain and/or alter any buildings or works necessary or convenient for the above-mentioned objects or any of them; 4) to assist, promote, establish, contribute, manage, control or support any charitable institutions or associations providing medical services for the poor and sick. From 1997 onwards, applications are invited from registered institutions and associations for support of projects which meet any of the above objectives. The support will normally take the form of grants. Applications are usually invited around January each year and will be considered by the Trustees on a case-by-case basis normally twice a year. Detailed information will be disseminated through relevant Schools/Faculties/ Research Centres.

3.9 United Board for Christian Higher Education in Asia (UBCHEA)

The UBCHEA is an ecumenical organization through which higher educational challenges in Asia are cooperatively addressed from a Christian perspective. From its inception the UBCHEA has assisted its Asian colleges and universities in addressing

their special needs and opportunities. It offers grants of a one or three-year duration to specific programmes or projects with particular emphasis in the area of humanities and social sciences. On occasion it may also provide longer term grants to assist young or small colleges in strengthening their broad institutional capabilities. The UBCHEA has recently identified the following 2 priorities:

- professional training for faculty, administrators, and trustees to promote academic and institutional excellence
- Linkages and networks to enhance regional cooperation and interaction among Board-related institutions

The Board calls for proposals once a year, usually around November.

Disbursement, Accounting and Monitoring Arrangements for Funding Schemes Administered by the Research Grants Council

These guidelines set out the disbursement, accounting and monitoring arrangements for funding schemes administered by the Research Grants Council (RGC). Grant recipients and their respective institutions should observe the requirements in the guidelines and check with the UGC Secretariat where clarification is needed.

Funding Schemes

2. Funding for the RGC is provided by the Government through the University Grants Committee (UGC) in the form of Earmarked Research Grant (ERG), and if necessary, supplemented from the UGC Central Allocation Vote. Starting from 2010/2011, the majority of ERG will be funded by the investment income of the Research Endowment Fund (REF). The ERG is disbursed in four main segments to support the academic research by staff of the UGC-funded institutions:

- (A) Direct Allocation Grant
- (B) General Research Fund
- (C) Collaborative Research Fund
- (D) Grants under the Joint Research Schemes

Starting from 2005/06, the Government earmarked an annual allocation of \$20 million to the RGC for promoting public policy research in the higher education sector. The Central Policy Unit provides this funding allocation under two funding schemes:

- (E) Public Policy Research funding scheme and
- (F) Strategic Public Policy Research funding scheme

Roles of the Principal Investigators and sponsoring institutions

3. RGC grants, though awarded to specific projects in the names of individual Principal Investigators (PIs), are actually grants allocated to institutions. While the PI is held responsible for the overall management, implementation and completion of a research project, the sponsoring institution is also required to assume the important role of managing the projects and putting in place a due internal monitoring system. Whenever irregularities have been detected, institutions have the responsibility in rectifying and following up the cases closely. Where the RGC's approval and advice is required to be sought, institutions are expected to exercise their judgement to ensure that only fully justifiable cases are recommended to the RGC for consideration.

(A) Direct Allocation Grant

Disbursement arrangement

4. Direct Allocation Grant is allocated directly to the institutions to support small projects costing less than \$200,000 each, carried out by new and junior faculty members on a competitive basis. It is normally released to institutions in two instalments

(75% in September and 25% in August of the following year). Institutions are expected to demonstrate fairness and rationality in their internal policies for the allocation of this grant.

Monitoring arrangement

5. Institutions are required to report on the grants disbursement and number of projects funded by Direct Allocation Grant in their “Annual Report on Research Activities” which is normally submitted to the RGC in October/November each year.

(B) General Research Fund

Disbursement arrangement

6. The major proportion of the ERG is allocated on the basis of competitive bids by the institutions for academic research projects under the General Research Fund (GRF) exercise. The grants are awarded via a process of external peer review. Funding approved under the GRF exercise is allocated to institutions, not to individual PIs. Starting from GRF 2010/2011 exercise, the approved funds will be released in two instalments (50% in September and 50% in August in the following year.)

Accounting arrangements

Approved scope

7. Institutions should ensure that the RGC grants are used appropriately and reasonably within the approved scope and timeframe. In principle, all research grants awarded/administered by the RGC should primarily be used in undertaking research work in Hong Kong, and that any outsourcing of work amounting to “sub-contracting research work out of Hong Kong” should be strictly prohibited. Nevertheless, it would be legitimate for the PIs to use the grant for data collection outside Hong Kong if this is a necessary and justified part of the research, and the RGC would consider such requests on a case-by-case basis, having regard to the merits and justification provided by the PI.

(a) Research Support Staff

Funding support may be provided for the remuneration of research support staff like Senior Research Assistants and Research Assistants, who assist in conducting research work of RGC funded projects concerned and are remunerated with salary. RGC grants must not be used to remunerate PIs and Co-Investigators (Co-Is) or to subsidise their salaries, including honorarium, in any way.

(b) Relief Teacher

In very exceptional circumstances and upon detailed and sound justification, the RGC will provide limited funding for supporting a relief teacher for the purpose of releasing the PI of a project for research. The funding is an earmarked sum, out of the approved project grant, for hiring a relief teacher at the institution. This earmarked amount is not transferable and should not be used to meet other items of expenses of the approved project.

(c) Provision of Research Experience for Undergraduate Students

The funding is an earmarked sum for providing an undergraduate student helper with a monthly allowance of up to \$2,500 for a maximum of ten months on a matching basis (i.e. the RGC and the institution will each contribute \$1,250 per month). This amount is not transferable and should not be used to meet other items of expenses of the approved project. To provide comprehensive research experience, the undergraduate student helper should be the same one throughout the project. Change of the undergraduate student helper requires RGC's prior approval and justification should be provided. Monitoring of the undergraduate students' participation in the research projects is the joint responsibility of the PIs and the institutions. The results of the undergraduate students' participation in the research projects must be included in the progress reports and completion reports of the projects.

(d) Equipment

Specialised equipment essential for the approved project and not otherwise provided by the institution will be funded. Institutions may however be expected to meet part of such cost if the equipment will be available for other research projects or teaching during the project's duration. Upon completion of the approved project, the equipment acquired can be redeployed at the discretion of the institution. Institutions should report such internal redeployments of major items of research equipment (costing \$500,000 and over) to the RGC. The RGC may consider possible redeployment of such major equipment items for use by other institutions where appropriate or practicable. Should an approved project be terminated for any reason, the RGC reserves the right to redeploy any equipment acquired by the RGC grants.

Notwithstanding that the approved projects are fully funded or the equipment items have been included in the research proposals, the PIs and the institutions must not use the RGC grants to purchase:

- (i) personal electronic devices such as cell phones, iPod, MP3 Players, digital cameras and PDAs; and
- (ii) standard equipment such as desktop PCs, servers, laptop computers, printers and scanners and standard software / software licence / dataset known to be available, or reasonably expected to be provided in the institutions, except with sound justification as approved by the RGC.

(e) Travel/Conference Grant

On request, a conference grant of \$12,000 per year is given to encourage the PI / Co-I and other research personnel (research students / Research Assistants / Research Fellows / Postdoc) engaged in the approved project to meet travelling and associated expenses for attending recognised international conference(s) to deliver paper(s) related to the project. The conference grant is part of the one-line vote for the project and need not be accounted for separately.

(f) Infrastructural Support/Overheads

Approved projects may be funded fully or partially by the RGC. Where required, institutions may top-up partially funded projects from other funding sources to ensure that these projects can realistically work towards their goals. Apart from contributions towards specialised equipment, institutions can provide necessary infrastructural and overheads supports such as normal academic equipment, consumables (consumable research materials, however, may be funded by the RGC grant as necessary), postage, fax, stationery, reference books, overseas telephone charges etc. to the approved projects. Starting from 2009/10, an additional 15% of the project grant awarded will be allocated to the institutional management as on-costs. Institutions should use the on-costs to cover indirect costs.

On approval of new projects

8. Institutions are required to create a reserve account, to which unexpended grant balances for active projects will be transferred at the end of the academic year, to be carried forward to the following year, or to the next triennium.

9. A project grant is, unless otherwise stated, a one-line vote without further division into sub-allocations. Virement between approved budget items within the same project does not require RGC's approval. If a PI wishes to spend the money on an item that is not covered by the approved budget, he / she has to seek the approval from the RGC on this new item via the Electronic System. Virement between projects are not allowed.

10. The official start date for all the newly approved projects will be 1 January of the following year, unless the PI advises an earlier date. Project grants must not be expended earlier than the project commencement date. Any deferral beyond 1 January will require the prior approval from the RGC. Under no circumstances will a project be allowed to be deferred beyond 12 months of the announcement of the funding results. If the project does not commence within 12 months of the announcement of the funding results, the RGC will withdraw the funding support. PIs have the discretion to decline a grant before commencement of the project if they do not consider it viable to carry out the projects. The RGC will not attach any penalty to such cases.

11. To enable easy data retrieval, the PIs of newly approved projects are required to submit essential data via the Electronic System. The essential data cover the information provided by PIs on revised project estimates including, revised start / scheduled completion dates, PIs' Chinese names and Chinese project titles etc.

12. In case a project budget is substantially reduced and the PI does not decline the grant, the PI concerned is required to submit via the Electronic System the revised objectives or work programme together with the revised budget for consideration by the appropriate RGC panel. Comments by the RGC on the revisions will be provided to the PI through the institution as soon as practicable. In any event, a PI should only accept a grant when he is satisfied that the funding approved by the RGC plus other resources available will be sufficient for the completion of the project. For on-going projects, requests for revision of project objectives should be separately submitted to the RGC for consideration as and when deemed necessary (see paragraph 24 (d)).

On termination / completion of projects

13. For cases where the PI becomes ineligible for the grant (e.g. on prolonged no-pay / leaving Hong Kong / incapable of managing the project) prior to the completion of the project, the institutions should endeavour to identify a suitable Co-I who has been involved in the project since commencement or a suitable PI in the same discipline to take over the role of PI and recommend to the RGC for approval. Institutions should notify the RGC as soon as the PI's departure / leave has been confirmed and the project account should be frozen at the same time.

14. The following accounting rules should be observed in handling project termination:

- (a) Once the project account is frozen, both the PI and the institution are obliged to cease immediately committing or incurring new expenditures under the account except for committed and uncancellable normal expenditure of salary to Research Assistants or equivalent employed before project termination date (i.e. payment in lieu of notice when staff's contracts have to be terminated as a result) and ordered equipment (where penalties are involved for cancellation of order). But such expenses must be solely and directly related to the project in question and have been committed before the project account is frozen.
- (b) Should the RGC eventually reject a PI's request for change or temporary waiver of eligibility requirements and the date of termination takes retrospective effect from the commencement of PI's departure, leave or original completion date, the institution is required to return the expenses incurred by the project starting from the retrospective termination date except under very exceptional circumstances.
- (c) Institutions are required to return the unspent balance (and expenses incurred since the retrospective termination date if applicable) and submit a concluding report (Form GRF 8A) to the RGC within 6 months of termination.
- (d) The RGC will consider the possible redeployment of the equipment acquired by RGC grants where necessary. Exceptional cases will be considered by the RGC on their individual merits.

15. The project account in respect of a completed project should be frozen immediately after the completion date, and any request for additional expenses incurred after that date to the unspent balance of the project must not be entertained. Institutions are given the discretion to allow charging certain expenses shortly after the project completion date to the unspent project balance in justified circumstances. This is however an exception rather than the rule. Before exercising such discretions, institutions must satisfy themselves that the expenses are strictly necessary for dissemination of research results (e.g. attendance at important international conferences and essential publication work). In any case, usage of unspent balance to meet the costs of purchase of stores/equipment or staff salaries beyond the project completion date is strictly prohibited.

16. It is the onus of institutions to verify any claim of expenses incurred while the account is frozen and to satisfy themselves that due efforts have been made to ascertain whether to pay the expenses incurred after the project account has been frozen. For audit purpose and in order to ensure accountability, institutions and the PI are required to

provide an itemized report of such expenses, together with corresponding justification, in the relevant Statement of Accounts of the projects.

17. Upon termination / completion of a project, the institution is required to return the unspent balance together with a Statement of Accounts to the UGC Secretariat within 6 months of project termination / completion date. For projects submitted in the electronic mode to the RGC in the application stage, (i.e. projects of Physical Sciences Panel approved in the exercise of 2003/04 or thereafter, Engineering Panel approved in the exercise of 2005/06 or thereafter, Biology and Medicine Panel approved in the exercise of 2007/08 or thereafter, and Humanities, Social Sciences and Business Studies Panel approved in the exercise of 2007/08 or thereafter), institutions should submit the Statement of Accounts to the UGC Secretariat through the Electronic System and send in the unspent balance in form of cheques with a printed copy of the Statement of Accounts for identification. For projects submitted in paper mode to the RGC in the application stage, institutions should submit the Statement of Accounts in the format of Annex A and any unspent balance in the form of cheques by mail.

18. On the portion of the on-costs, pro-rata amount should be returned to the UGC Secretariat with the unspent balance of the project grant. For instance, if there is an unspent balance of \$10,000 from the project grant, a pro-rata amount of \$1,500 from the on-costs should be returned to the UGC Secretariat as well (i.e. \$11,500 in total).

19. The RGC reserves the right to withdraw support for particular projects by giving appropriate advance notice.

Accounting Arrangement for Clinical Research Fellowship Scheme (CRFS)

20. The CRFS is tied to the annual GRF funding exercise and its award is conditional on the GRF proposal being approved. Each fellowship is pitched at the sum of the annual salary and annual cash allowance of the applicant or \$1,200,000 starting from 2009/10, whichever is the less (the RGC and host university will each be responsible for contributing 50% of the fellowship annually) for a maximum of three consecutive years. The duration of the award will be the approved duration of the GRF research project. The fellowship grant can be used to support the maintenance costs of a fellow or to meet the salary costs of the replacement academic staff who have to be employed by the host university to take over the fellow's duties for the period of the fellowship. If the fellow is a clinician from the Hospital Authority (HA) and he chooses to remain on the payroll of HA, the host university may alternatively use the grant to hire a clinician replacement to relieve the fellow for the sole purpose of taking up the approved research work. Nonetheless, the fellow must have a full-time appointment with the university and report to the university only throughout the fellowship. In all circumstances, the fellowship fund cannot be used to defray any research expenses which should instead be covered by the GRF grant awarded to the relevant research proposal.

21. The annual matching grant of the RGC (i.e. 50% of each fellowship) is normally released in September each year as part of the GRF allocation. The host university is responsible for the creation of a fellowship account for the management of the necessary funds and is required to report on the disbursements and the account balance. For accounting purposes, the university is required to submit a separate statement of balance to the RGC to account for the expenses in respect of the fellowship award. Such statement should be

attached to the mid-term report / annual progress report for the relevant GRF project (as required in paragraphs 25-27) for inspection by the RGC.

22. The fellowship award is non-transferable. When a fellow departs from his or her host university or no longer becomes eligible for the award, the fellowship must be terminated immediately and the remaining funds in the fellowship account will be returned to the RGC and the university on an equal basis.

Accounting Arrangement for Longer-term Research Projects

23. Longer term projects are GRF projects and all rules on accounting and reporting requirements for GRF will also apply. However, the grants for longer term projects will be disbursed by two instalments and the portion for each instalment will be decided by the RGC. The first instalment (also subject to the 50% - 50% separate payment arrangement) will be paid into the institution's account alongside with other GRF grants. The second instalment will be released after the second annual progress report has been received and subject to satisfactory progress of the project and RGC Panel's recommendation.

Changes to approved projects

24. All major changes to approved projects require RGC's prior approval.

(a) General principles

- (i) Where the proposed changes are initiated by the PI, the institution should consider them internally before forwarding its recommendation, with any additional information, to the RGC for consideration. Both the PIs and the institutions have the responsibility to file the applications for RGC's approval in good time and well in advance of the effective date of proposed changes / waivers. If a PI's request for change / waiver is submitted to the RGC after or just shortly before the effective date of the proposed change / waiver, his / her project is liable to the risk of being terminated with retrospective effect from the date of his / her departure (for change of PI), the commencement of his / her leave (for temporary waiver of eligibility requirements) or the original completion date (for project extension). In such a case, the institution will be required to return the expenses incurred by the project since the retrospective termination date except under very exceptional circumstances. If the RGC's approval is still pending by the original completion date or by the time the PI has become ineligible to hold the grant, the project account in question should be frozen immediately until the RGC's approval is granted.
- (ii) For projects submitted in the electronic mode to the RGC in the application stage (see paragraph 17 for the periods of submission), requests for changes should be done by the PIs and the institutions via the Electronic System by "Change Request". For projects submitted in paper mode to the RGC in the application stage, requests for changes should be made in writing by PIs and submitted to the institutions for support and onward transmission to the UGC Secretariat.

(b) Change of PI and Co-I

As a matter of policy, change of PI would normally not be approved within the first six months of an approved project. However, change of PI between the 7th and the 12th month may be considered by the RGC under the following circumstances:

- (i) Clear evidence can be provided by the PI to the satisfaction of the RGC that when the project commences, he / she is not aware of the changing circumstances that may not allow him / her to complete the project;
- (ii) Genuine and convincing reasons in support of the change for PI must be given (e.g. departure of PI due to emigration, change of profession, ill health, etc.) and supported by the institution concerned; and
- (iii) A suitable Co-I who has been involved in the project since commencement is available and considered suitable by the RGC to take over the role of PI. In this connection, the PI and Co-I concerned are required to complete the proforma at Annex B and submit it to the UGC Secretariat via the institution. The institution should provide confirmation that the nominated Co-I meets all the RGC eligibility requirements as the PI of the approved project.

Once the research protocol and the composition of a research team have been approved, the RGC normally does not entertain requests to add Co-Is save in very exceptional circumstances. Institutions are expected to exercise their judgement before forwarding recommendations to the RGC for consideration.

(c) PIs proceeding on prolonged no-pay leave

PIs, who are on no-pay leave for a continuous or cumulative period exceeding 183 days within the project period but wish to continue as PIs, are required to seek the RGC's approval in advance for temporary waiver of eligibility requirements. If the temporary waiver is approved, normally no extension and change of the objectives of the projects concerned will be allowed. Institutions should seek the RGC's approval for the temporary waiver before granting the leave. The application for waiver may be considered by the RGC under the following circumstances:

- (i) Evidence is provided that the PI is able to continue to oversee the project during his / her leave; and
- (ii) An undertaking must be signed by the PI to confirm that he / she will return to the concerned UGC-funded institution upon expiry of his / her leave.

Failing to do so, the RGC has to terminate the project and as a result, the institution is required to return the RGC grant spent during his / her leave.

(d) Revision of project objectives

Research projects are selected on the basis of, among other things, the objectives stated in the original proposals. The PIs should not alter the project objectives without seeking the prior approval of the RGC. In case revision of project objectives is warranted, the PIs should seek formal approval through their institutions. The institutions will exercise their judgement, recommend the justifiable cases and confirm the new institutional commitments, if any, to the RGC for consideration.

(e) Transfer of project to another institution

When the PI takes up an appointment at another UGC-funded institution before the completion of a project, the RGC may approve the transfer of the balance of the allocation for the project (normally together with the equipment where justified and appropriate) to the receiving institution, after consultation with the institutions concerned. The outgoing institution should report any changes in the appointment status of the PIs to the RGC. RGC's prior approval is needed to effect the transfer of projects.

(f) Extension of project completion date

- (i) For extension of a period of 6 months and less, the authority is with the institution. The PIs should apply to their institutions direct. The RGC must be notified of the extension approved by institutions before the original completion date of the project.
- (ii) For extension beyond 6 months, the RGC's approval is needed. For projects with 3-year duration, the PIs are required to submit up-to-date progress reports (Form GRF 7) (ending date of reports should not be more than 3 months prior to submission of requests for extension) together with their requests for project extension. The institutions should exercise their judgement and recommend the justifiable cases to the RGC for consideration.
- (iii) For extension beyond 12 months (i.e. after approval given at (i) and (ii)), such requests will not be considered except under extraordinary circumstances (e.g. illness of PI), and the maximum allowable extension in aggregate is 18 months. In exceptional circumstances where further extensions beyond 12 months are given by the RGC, such periods will be counted towards the period allowed for preparation and submission of completion reports.
- (iv) RGC's approval for project extension will not be given to projects awarded with longer-term grants except for cases with very sound justification.

Monitoring arrangement

Submission of progress and completion reports

25. PIs are required to submit annual progress reports or mid-term progress reports (Form GRF 7) on all on-going projects through their institutions to the RGC for monitoring. The reporting period and the date of submission of the report to the UGC Secretariat are given in the table below:

Projects	Report Type	Report End Date	Report Submission Date
Three-year projects funded in 2007/08 and thereafter	Mid-term progress report	The immediate <u>31 March</u> after the completion of the first 12-month of the project	Three months after the report end date, i.e. <u>30 June</u>
Projects other than the above	Annual progress report	The immediate <u>31 December</u> on or after the completion of every 12-month of the project	Three months after the report end date, i.e. <u>31 March</u>

26. The progress report of an approved project will be reviewed by the responsible RGC Panel member to ensure that the project is proceeding on schedule and that any problems identified are followed up. While the PIs are held responsible for the submission of progress reports, the institutions should put in place an internal monitoring system to ensure the PIs' compliance with all monitoring rules laid down by the RGC.

27. Completion reports (Form GRF 8) should be submitted not later than 9 months after the approved completion date of the project.

28. For projects submitted in the electronic mode to the RGC in the application stage (see paragraph 17 for the periods of submission), submission of progress and completion reports should be made by the PIs via the Electronic System. For projects submitted in paper mode to the RGC in the application stage, submission should be made by PIs in hardcopy via the institutions to the UGC Secretariat. Relevant form can be downloaded from the RGC website and the reports should be submitted to the UGC Secretariat in duplicate. Principal Investigators (PIs) of projects approved in 2011/2012 onwards are required to release the completion reports to the public through the RGC website. Completion reports containing information such as abstract in non-technical terms, objectives, research output including the list of conference papers / publications / journals and research findings and contact information of PIs should be open to public access. The PIs will be requested to give reasons for not providing any required information for public access in the new template. In the interim, the PIs submitting completion reports in 2010/2011 will be given the discretion to decide whether they will prefer to release their completion reports for public access. Under the existing requirements, the layman summary included in the completion reports will be mounted onto the RGC website for public information. Arrangement of releasing completion reports to the public is applicable to all approved projects under funding schemes administered by the UGC and the RGC.

Unsatisfactory, Barely satisfactory and Overdue reports

29. Timely submission of reports is important and reflects on the diligence and ability of the PI in managing a project. If reports remain overdue by the submission deadline, the RGC will consider terminating the projects and rating them as ‘Unsatisfactory’ for record. All records of RGC funded projects rated “Unsatisfactory” or “Barely Satisfactory”, regardless of whether they are for overdue or other reasons, may be taken into account when a PI’s new funding application is considered. The overall grading of his funding application submitted to the new funding exercises may be downgraded. For cases concerning non-submission and overdue submission of completion or progress reports, the PI may be debarred from applying for UGC / RGC grants for two years or until the submission of the outstanding report. Normally, the “Unsatisfactory” and “Barely satisfactory” records would be disregarded by the Panels six years after passing the judgement. The penalty arrangement for GRF projects is also applicable to all research projects approved under other funding schemes administered by the UGC and RGC.

30. The project account of an on-going project should be frozen if any progress report is overdue. In this regard, institution should undertake thorough checking on the submission of reports to the RGC, take immediate action to freeze the accounts of projects which have overdue progress reports and notify the UGC Secretariat of the action taken.

31. The UGC / RGC shall have no responsibility, financial or otherwise, for expenditure or other liabilities arising from the research projects it supports, beyond the funding allocated from the Earmarked Research Grant for those projects.

(C) Collaborative Research Fund

Disbursement arrangement

32. A proportion of the ERG is allocated as Collaborative Research Fund (CRF) to support equipment projects including major research facilities / equipment for collaborative projects and / or for the acquisition of library materials, and group research projects. The grants are awarded via a process of external peer review. Starting from CRF 2010/2011 exercise, the funding approved under the CRF exercise is released to the principal institutions by two instalments (50% in January and 50% in December).

Accounting arrangements

Approved scope

33. The conditions governing the remuneration of research support staff, the purchase of equipment, the support for travel / conference grant and the institutional commitment in infrastructure and overheads under the GRF exercise are also applicable to the projects approved under the CRF exercise.

34. For equipment projects including equipment acquisition and library collection, the responsible Project Coordinator (PC) should follow the normal tendering / procurement procedures in force with the institution to complete purchase and installation of the equipment / collection. Where applicable, the PC and the institution should make reference to the vetting procedures established by the Inter-institutional Equipment Committee (IIEC).

On approval of new projects

35. Once a CRF project is approved, satisfactory arrangements should be worked out among the institutions concerned for the ownership and management of the funded equipment / facilities and for meeting recurrent costs. Monitoring Committees may be established by these institutions if they consider necessary.

36. All group research projects must be commenced by 30 June of the following year the latest and the RGC should be notified of the commencement date and any subsequent change.

37. In case a project budget is substantially reduced and the PC does not decline the grant, the PC concerned is required to submit the revised objectives or work programme to the UGC Secretariat before the deadline set using the proforma at Annex C for consideration by the Collaborative Research Fund Sub-Committee. In any event, a PC should only accept a grant when he is satisfied that the funding approved plus other resources available will be sufficient for the completion of the project.

Changes to approved projects

38. All major changes to approved projects require RGC's prior approval.

(a) Change of PC

The PC plays a very important role in steering the course of a project and, for this reason, any request for change of PC will normally not be considered. The institution should provide sound justification to the RGC for approval.

(b) Extension of project completion date

The RGC will only approve application for extension in exceptional circumstances where sound justification can be advanced. As a matter of policy, the RGC normally does not approve an aggregate extension of more than 6 months for a project. For all projects approved in the exercise of 2007/08 and thereafter, the PCs are required to submit up-to-date progress reports (Form CRF 7G) (ending date of progress reports should not be more than 3 months prior to submission of request for extension) together with their request for extension to the RGC for consideration.

Monitoring arrangement

Submission of progress and completion reports

39. PIs are required to submit annual progress reports or mid-term progress reports (Form CRF 7E for equipment projects and Form CRF 7G for group research projects) on all on-going projects through their institutions to the RGC for monitoring. The reporting period and the date of submission of the report to the UGC Secretariat are given in the table below:

Projects	Report type	Report End Date	Report Submission
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			Date
Three-year projects	Mid-term progress report	The immediate <u>30 September</u> after the completion of the first 12-month of the project	Two months after the report end date, i.e. <u>30 November</u>
Projects other than the above	Annual progress report	The immediate <u>30 June</u> on or after the completion of every 12-month of the project	Two months after the report end date, i.e. <u>31 August</u>

40. Completion reports (Form CRF 8E for equipment projects and Form CRF 8G for group research projects) should be submitted not later than 9 months after the approved completion date of the project.

(D) Joint Research Schemes

41. Joint research schemes are established in collaboration with research bodies in the Mainland and overseas for promoting research co-operation and exchanges.

(a) National Natural Science Foundation of China (NSFC) / RGC Joint Research Scheme

Disbursement arrangement

42. The grants awarded are to support collaborating research between the Mainland and Hong Kong. The grants are awarded via a process of external peer review. Funding approved under the NSFC / RGC Joint Research Scheme is released to the Hong Kong PIs via institutions in the form of a one-line vote on a one-off basis.

Accounting arrangements

43. The conditions governing the projects approved under the GRF exercise are also applicable to the projects approved under NSFC/RGC Joint Research Scheme. The grants are solely for use by the Hong Kong PIs and can only be used in Hong Kong, unless otherwise approved by the RGC.

44. The official start date of all the newly approved projects will be 1 January of the following year. Any deferral beyond this period will require prior approval from NSFC / RGC. The project period of both sides should have the same start and end date.

Changes to approved projects

45. All major changes such as revision of project objectives / work programmes, change of PIs / Co-Is require parallel submission of formal requests to the RGC and the NSFC for prior approval.

46. For extension of project completion date not exceeding 6 months in aggregate, applications must first be submitted by the Mainland PIs to the NSFC. Subject to NSFC's approval, the Hong Kong PIs could then submit their requests for extension to their institutions for consideration. The RGC must be notified of the institutional approval prior to

the original completion dates of the projects. Where an application for extension exceeding 6 months in aggregate is sought, the Hong Kong PIs must apply with detailed and sound justification through their institutions to the RGC and NSFC in parallel at least 6 months before the approved project completion date. Granting of request is subject to agreement of both the RGC and the NSFC. As a matter of policy, the RGC and NSFC will not consider requests for extension exceeding 12 months in aggregate.

47. For 3-year projects funded in the exercise of 2007/08 and thereafter, when submitting requests to RGC for further extensions beyond 6-month extensions approved by institutions, the Hong Kong PIs are required to submit up-to-date progress reports (ending date of report should not be more than 3 months prior to submission of request for extension) together with a copy of the latest progress reports submitted to the NSFC by their Mainland partners for consideration.

Monitoring arrangement

48. Both the Hong Kong and Mainland partners are required to report progress of their projects. Hong Kong PIs are required to submit annual progress reports or mid-term progress reports through their institutions to the RGC for monitoring. They should enclose a copy of the latest progress reports submitted to the NSFC by their Mainland partners. The reporting period and the date of submission of the report to the UGC Secretariat are given in the table below:

Projects	Report type	Report End Date	Report Submission Date
Three-year projects	Mid-term progress report	The immediate <u>30 June</u> after the completion of the first 12-month of the project	Two months after the report end date, i.e. <u>31 August</u>
Projects other than the above	Annual progress report	The immediate <u>31 December</u> on or after the completion of every 12-month of the project For projects which starts after 1 January, the report end date should be the immediate 31 December after project commencement	Two months after the report end date, i.e. <u>28 February</u>

49. Hong Kong PIs should submit their completion reports together with a copy of the completion report submitted to the NSFC by the Mainland partner, within 9 months after the approved completion date of the projects. All reports must be jointly signed by the collaborators of both places and submitted in the report forms as prescribed by the RGC and the NSFC respectively.

(b) Germany / Hong Kong Joint Research Scheme

Disbursement arrangement

50. The scheme, established in collaboration with the Germany Academic Exchange Service (DAAD), provides travel grants to support and facilitate collaborative research between scholars in Germany and Hong Kong. Funding approved under the Germany / Hong Kong Joint Research Scheme is released to the Hong Kong PIs in the form of a one-line vote on a one-off basis.

Accounting arrangements

51. The grant is to meet only the air passage, accommodation and subsistence costs directly related to the proposed exchanges between the two collaborating grant applicants in Germany. They are solely for use by the Hong Kong PIs. Expenditure on equipment, consumables, other project-related expenses and insurances are not covered.

52. Save in very exceptional circumstances (such as prolonged illness of the PI) and with proper justification stated in the “Travel Plan” of the application form as well as prior approval of the RGC, the PI cannot delegate the trip to his Co-I nor his project team members. The RGC grant should under no circumstances be used to support a student.

53. The travel grants awarded can only be used in the approved funding year which normally runs from 1 January to 31 December. For two-year grants, the unspent balance of the first-year grants cannot be carried over to the second year and should be returned to the RGC within 6 months upon expiry of the related funding period.

Monitoring arrangement

54. An interim report is required to be submitted to the RGC by a stipulated deadline. Hong Kong PIs should submit a Project Report summarizing the work completed to the RGC through the institutions within 6 months after the expiry of the funding period. No postponement of the completion date will be allowed. The unspent balance and a statement of account in the format at Annex B should also be returned to the RGC.

(c) PROCORE-France / Hong Kong Joint Research Scheme

55. The scheme is established jointly with the French Consulate in Hong Kong to support collaborative research between the two places. In addition to the provision of travel grants, the scheme also sponsors travel, accommodation and subsistence costs of guest speakers and direct organising costs (e.g. reservation of meeting venue, production of conference / workshop materials) of conference / workshop held in Hong Kong.

56. The rules governing the travel grants under the Germany / Hong Kong Joint Research Scheme are also applicable to the projects approved under the PROCORE-France / Hong Kong Joint Research Scheme.

(d) Economic and Social Research Council (ESRC) / RGC Joint Research Scheme

Disbursement arrangement

57. This is a research funding scheme to support social science research collaboration between researchers in the UK and Hong Kong. The rules governing the GRF projects are normally applicable to the projects approved under the ESRC / RGC Joint Research Scheme. The RGC grants are solely for use by the Hong Kong PIs.

58. The approved projects should normally start within 6 months of the approval and any deferral beyond this period will require prior approval from ESRC / RGC. The project period of both sides should have the same start and end date.

Changes to approved projects

59. All major changes such as revision of project objectives / work programmes, change of PIs / Co-Is require parallel submission of formal requests to the RGC and the ESRC for prior approval. For extension of project duration not exceeding 6 months in aggregate, the authority is with the institution. The PIs should apply to their institutions direct. The RGC and ESRC must be notified of the extension approved by institutions before the original completion date of the project. For extension beyond 6 months, the rules under the NSFC / RGC Joint Research Scheme mentioned at paragraphs 46 and 47 are also applicable to the projects approved under the ESRC / RGC Joint Research Scheme.

Monitoring arrangement

60. The submission and report end dates of mid-term reports / annual progress reports are stipulated in the announcement of funding results. Hong Kong PIs should follow the dates in preparing their progress reports. They should also submit to the RGC their completion reports, together with a soft copy of the “End of Award Report” submitted by the UK partners, within 9 months after the approved completion date of the projects.

(e) NWO / RGC Joint Research Scheme

61. The scheme is established with Netherlands Organisation for Scientific Research (NWO) to promote research collaboration between Hong Kong and the Netherlands. The Scheme offers travel grants to support scholarly collaboration between individual Hong Kong and Dutch researchers as well as workshop grants to sponsor workshops held in Hong Kong and the Netherlands. Research collaboration proposals under the following subject areas are eligible for application: Astronomy, Chemistry, Mathematics and Computer Science.

62. The rules governing the travel grants and workshop grants under the PROCORE-France / Hong Kong Joint Research Scheme are also applicable to the projects approved under the NWO / RGC Joint Research Scheme.

(f) CSIC / RGC Joint Research Scheme

63. The scheme is established in collaboration with the Spanish National Research Council (Agencia Estatal Consejo Superior de Investigaciones Científicas, CSIC) to promote research collaboration between Hong Kong and Spain by providing researchers in the two places with two-year travel grants.

64. The rules governing the travel grants under the Germany / Hong Kong Joint Research Scheme are also applicable to the projects approved under the CSIC / RGC Joint Research Scheme.

(g) RGC-Fulbright Hong Kong Programme

Disbursement arrangement

65. The Programme is established in collaboration with the US Consulate-General in Hong Kong. The RGC-Fulbright Hong Kong Senior Scholar Programme is launched to support Hong Kong scholars to go to the US to undertake research and teaching work for up to ten months. The RGC-Fulbright Hong Kong Dissertation Research Programme is launched to support PhD students studying in Hong Kong to go to the US to undertake research for up to ten months. The fellowship is a one-off non-accountable grant for the passage and all necessary maintenance cost of the scholars / PhD students. Any unspent balance of the research grant has to be returned to the RGC after completion of the fellowship.

Monitoring arrangement

66. The fellowship recipients are required to submit a report on the fellowship to the Hong Kong-America Centre which administers the programme on behalf of the RGC, for record within three months after completion of the fellowship. Institutions are required to arrange for the return of the pro rata amount to the RGC in case the scholars / PhD students concerned shortens or terminates the approved stay in the US.

(E) Public Policy Research and Strategic Public Policy Research Funding Schemes

Disbursement arrangement

67. The Public Policy Research (PPR) and Strategic Public Policy Research (SPPR) Funding Schemes are administered by the RGC with funds allocated by the Central Policy Unit (CPU) to promote public policy research in higher education sector. The grants are awarded via a process of external peer review. Funding approved under these two schemes is allocated to institutions, not to individual PIs. They are normally released in one instalment (in September for PPR projects and in January for SPPR projects).

Accounting arrangements

68. The conditions governing the remuneration of research support staff, the purchase of equipment, the support for travel / conference grant and the institutional commitment in infrastructure and overheads under the GRF exercise are also applicable to the projects approved under the PPR and SPPR exercises.

69. The accounting arrangements and the procedures / criteria for granting approval for changes to approved projects under the GRF exercise are largely applicable to the projects approved under PPR and SPPR funding schemes, with the exception of the following:

- (a) PPR projects must commence work within 3 months of announcement of the funding results while SPPR projects must commence work within 6 months of result announcement;
- (b) For PPR projects funded in the 7th Round in 2009/10 and thereafter and SPPR projects funded in 2009/10 and thereafter, PIs are required to submit essential data via the PPR Electronic System and the SPPR Electronic System;
- (c) All requests for project extension must be submitted via the institutions to the RGC for approval. For PPR projects, a maximum extension of 3 months may be granted in justifiable cases. Unlike GRF projects, PIs of PPR projects are not required to attach up-to-date reports to apply for their extension because the extension involved is not long enough to warrant an additional progress report;
- (d) Like CRF in para. 38 (b), the RGC will only approve application for extension to SPPR projects in exceptional circumstances where sound justification can be advanced. As a matter of policy, the RGC normally does not approve an aggregate extension of more than 6 months for a project. All PIs are required to submit up-to-date progress reports (Form SPPR 7) (ending date of progress reports should not be more than 3 months prior to submission of request for extension) together with their request for extension to the RGC for consideration.
- (e) The PI plays a very important role in steering the course of a SPPR project and, for this reason, any request for change of PI of SPPR project will normally not be considered. The institution should provide sound justification to the RGC for approval; and
- (f) For terminated / completed PPR / SPPR projects, institutions are required to return the balance of the grant together with the statement of accounts to the RGC within 3 months of termination / completion and the concluding report (Form PPR 8A / SPPR8A) of the terminated project should also be submitted within 3 months of termination.

Monitoring arrangement

70. As public policy research has explicit implications on policy development and formulation in Hong Kong, it is expected that some results of the research should be made available for access by the public before the submission of completion reports. PIs should plan for early release of some results for access by the public midway through the projects. To encourage timely dissemination of the research results for the reference of the Government, PIs are encouraged to pass to the CPU through the UGC Secretariat a copy of any disseminable output (e.g. working paper, report, journal paper, conference paper, books etc.) as soon as it is available. CPU may circulate these outputs to relevant Bureaux / Departments / statutory bodies of the Government for reference.

71. PIs are required to submit annual progress reports or mid-term progress reports on all on-going projects through their institutions to the RGC for monitoring. The reporting period and the date of submission of the report to the UGC Secretariat are given in the table below:

PPR Projects	Report Type	Report End Date	Report Submission Date
Three-year projects funded in June 2008 and thereafter	Mid-term progress report	The immediate <u>31 December</u> after the completion of the first 12-month of the project	Two months after the report end date, i.e. <u>28 February</u>
Projects other than the above	Annual progress report	The immediate <u>30 September</u> on or after the completion of every 12-month of the project	Two months after the report end date, i.e. <u>30 November</u>

SPPR Projects	Report Type	Report End Date	Report Submission Date
Three-year projects	Mid-term progress report	The immediate <u>30 September</u> after the completion of the first 12-month of the project	Two months after the report end date, i.e. <u>30 November</u>
Projects other than the above	Annual progress report	The immediate <u>30 June</u> on or after the completion of every 12-month of the project	Two months after the report end date, i.e. <u>31 August</u>

72. Completion reports in triplicate (Form PPR 8 for PPR projects and Form SPPR 8 for SPPR projects) should be submitted to the RGC within 3 months and 9 months after the approved completion date of the projects respectively. The completion reports will be forwarded to the CPU for retention. CPU may circulate the reports to relevant Bureaux / Departments / statutory bodies of the Government for reference.

73. The RGC will assess the completion reports and follow the same arrangements adopted in the GRF exercise in handling reports rated “Unsatisfactory” or “Barely Satisfactory” in the PPR and SPPR funding schemes.

74. The RGC / UGC / CPU shall have no responsibility, financial or otherwise, for expenditure or other liabilities arising from the research projects it supports, beyond the funding allocated from the Public Policy Research / Strategic Public Policy Research for those projects.

Acknowledgement

75. Upon completion of the project, one copy each of any refereed publications together with a list of other publications resulting from the project should be

submitted together with the Completion Report to the RGC for record and assessment purpose.

Direct Allocation / General Research Fund / Collaborative Research Fund

76. While the RGC does not claim copyright or other intellectual property right of the output produced, a suitable acknowledgment of the RGC funding should be included in any equipment / facilities purchased and any publication / publicity arising from the work done on a research project funded in whole or in part by the RGC / UGC. The following format of acknowledgment should be used:

“The work described in this paper (or the equipment / facility) was fully / substantially / partially supported by a grant from the Research Grants Council of the Hong Kong Special Administrative Region, China (Project No. [Institution code][Serial number of 4 digits]/[year][discipline], e.g. CityU 1401/03H for projects submitted in paper mode to the RGC in the application stage; and [Institution code] [Project No.], e.g. CityU 140109 for projects submitted in electronic mode to the RGC in the application stage)”.

Joint Research Schemes

77. Projects funded by the NSFC / RGC Joint Research Scheme and ESRC / RGC Joint Research Scheme must acknowledge the funding support in all publications and any major equipment/facilities acquired in the course of work as follows:

“This work described in this paper (or the equipment / facility) was fully / substantially / partially supported by a grant from the NSFC (or ESRC) / RGC Joint Research Scheme sponsored by the Research Grants Council of Hong Kong and the National Natural Science Foundation of China (or the Economic & Social Research Council) (Project No. N_[Institution’s abbreviation][Institution code] [serial number of 2 digits]/[year], e.g. N_CUHK 413/09)” (or project reference no. assigned by the ESRC).

78. All work / conference / workshop materials arising from the approved projects of the PROCORE-France / Hong Kong Joint Research Scheme and the German Academic Exchange Service and the Research Grants Council of the Hong Kong Joint Research Scheme, NWO / RGC Joint Research Scheme and CSIC / RGC Joint Research Scheme should carry, where appropriate, an acknowledgement as follows:

“The work / conference / workshop (delete where appropriate) was supported by a grant from the PROCORE-France / Hong Kong Joint Research Scheme sponsored by the Research Grants Council of Hong Kong and the Consulate General of France in Hong Kong (Reference No. [F-HK][serial number of 2 digits]/[year][type], e.g. F-HK02/09T”.

or

“The work described in this paper was supported by a grant from the Germany / Hong Kong Joint Research Scheme sponsored by the Research Grants Council of Hong Kong and the German Academic Exchange Service of Germany (Reference No. [G_HK][serial of 3 digits]/[year], e.g. G_HK013/09)”.

or

“The work / workshop (delete where appropriate) was supported by a grant from NWO / RGC Joint Research Scheme sponsored by the Research Grants Council of Hong Kong and Netherlands Organisation for Scientific Research (Reference No. [D-HK] [serial number of 2 digits]/[year][type], e.g. D-HK02/10T”.

or

“The work was supported by a grant from the CSIC / RGC Joint Research Scheme sponsored by the Research Grants Council of Hong Kong and Agencia Estatal Consejo Superior de Investigaciones Científicas of Spain (Reference No. [S-HK][serial number of 2 digits]/[year][type], e.g. S-HK02/10T”.

Public Policy Research / Strategic Public Policy Research

79. The Government and the RGC do not claim copyright of other intellectual property right of the output produced. Nevertheless, a suitable acknowledgment of the funding from the CPU and RGC should be included in any equipment / facilities purchased and any publication / publicity arising from the work done on a research project funded in whole or in part by the CPU / RGC / UGC. The following format of acknowledgment should be used:

“The work described in this paper (or the equipment / facility) was fully / substantially / partially supported by a grant from the Central Policy Unit of the Government of the Hong Kong Special Administrative Region and the Research Grants Council of the Hong Kong Special Administrative Region, China (Project No. [Institution Name][Institution Number][Serial Number]-PPR-[Year](for projects funded in 2009/10 (7th Round) and thereafter) or [Round of Exercise] (for projects funded in the 6th Round or therebefore) / -SPPR[Year], e.g. CityU 1001-PPR-09 / CityU 1001-PPR-6)” / CityU 1001-SPPR-09.

UGC Secretariat
October 2010

Statement of Accounts for RGC-funded/administered Projects

Institution:

Project Ref:

Name of PI/PC:

Project Title:

Source of Funding	<u>HK(\$)</u>	<u>HK(\$)</u>	<u>Remarks</u>
RGC grant	XXX,XXX		(i)
<i>Institution</i>	XXX,XXX		(ii)
<i>Others</i>	<u>XXX,XXX</u>		(iii)
Total Funding		XXX,XXX	(iv) = (i)+(ii)+(iii)
<u>Less Expenditure</u>			
(a) Staff (SRA/RA/Postdoc/RPg)	(XXX,XXX)		(v)
(b) Relief Teacher (only if applicable)	---		(vi)
(c) Equipment	(XXX,XXX)		(vii)
(d) General Expenses	(XXX,XXX)		(viii)
(e) Conference	<u>(XXX,XXX)</u>		(ix)
<i>Total Expenditure</i>		<u>(XXX,XXX)</u>	(x) = (v)+(vi)+(vii)+(viii)+(ix)
<i>Unspent Balance</i>		<u>(XXX,XXX)</u>	(xi) = (iv) – (x)
<u><i>Amount of RGC funding used</i></u>	(XXX,XXX)		(xii)
Amount of institution's funding used	(XXX,XXX)		
<u><i>Amount of other funding used</i></u>	(XXX,XXX)		
Unspent balance to be returned to the RGC :			
Project Fund	XXX,XXX		(xiii) = (i) – (xii)
15% On-costs	XXX,XXX		(xiv) = (xiii) x 15%
Total	<u>XXX,XXX</u>		(xv)

**Projects funded under General Research Fund / Public Policy Research / Strategic Public Policy
Research Funding Scheme
(for non-Electronic System projects)
Request for Change of Principal Investigator**

Project Ref: _____

Project Title: _____

To be completed by the Principal Investigator concerned *(Please use additional sheet if necessary)*

Part 1 - State of progress on the Project

Part 2 – Reasons for Change of Principal Investigator (PI)

Part 3 – Name of existing Co-Investigator (Co-I) / nominated new PI to replace the PI

Name :

Post Title:

Institution:

Part 4- Past experience of the existing Co-I / nominated new PI in the research area at issue

Signature of the PI :	
Name of PI (in BLOCK letters) :	
Date:	

Part 5 – Declaration by the nominated PI concerned

I am willing to take up the role of principal investigator of the project (Ref.: _____) and assume full responsibility for completion of the project. I will be held responsible and be accountable for the management and completion of the project. The final assessment on the project, be it “Satisfactory” or “Unsatisfactory”, will apply to me.

Signature of the nominated PI: _____

Name of nominated PI (in BLOCK letters): _____

Date: _____

Part 6 – Institutional Endorsement

I confirm that the above request for change of PI is supported by the institution, and the nominated PI meets all the RGC eligibility requirements as the PI of RGC-funded projects.

Signature :

Name (in BLOCK letters):

Designation:

Date:

Collaborative Research Fund Project
Application for Revision in Objectives / Work Programme
of Newly Funded Project

Project Number :

Project Title :

Name of PC :

(A) Original Objectives / Work Programme (please list in point form as appropriate)

(B) Revised Objectives / Work Programme (please highlight the parts where revision is made)

(C) Reason(s) for Revision(s) of Objective(s) / Work Programme