

RGC Ref. No.:

(to be assigned and filled in by institution)

**RESEARCH GRANTS COUNCIL
COMPETITIVE RESEARCH FUNDING SCHEMES FOR
THE LOCAL SELF-FINANCING DEGREE SECTOR 2018/19**

**FACULTY DEVELOPMENT SCHEME (FDS)
Application Form (FDS1)**

Important Notes to the Applicant

1. *Please read the Explanatory Notes FDS2 carefully before competing this form and make reference to the Guidelines on Disbursement, Accounting and Monitoring Arrangements for Competitive Research Funding Schemes for the Local Self-financing Degree Sector (SF-DAMA) if necessary.*
2. *To safeguard the interests of the researcher and the institution, the awardee institution bears the primary responsibility for prevention, detection and investigation of research misconduct, including but not limited to misuse of funds, data falsification, plagiarism and double-dipping. The institution is required to check the proposal with anti-plagiarism software before submitting the application to the RGC.*

[Please tick '✓' in the box below to confirm. Otherwise, this application will NOT be further processed.]

This is to confirm that the applicant has read and fully understands the requirements as set out in this Application Form, the Guidance Notes (FDS2 (Nov 2017)), the Call for Proposals and the SF-DAMA.

PART I SUMMARY OF THE RESEARCH PROPOSAL

[To be completed by the applicant]

1. Particulars of the Principal Investigator (PI)

(Please use the name as shown in the Hong Kong Identity Card or passport)

- (a) Title: Professor / Dr / Mr / Ms / Miss / Mrs* *Please delete as appropriate*

(English) Surname: _____ Other Names: _____
(capital letters)

(Chinese): _____

Post: _____

Unit / Department: _____

Institution: _____

Contact Tel. no.: _____ Email: _____

Personal website (if any): _____

[Please tick '✓' in the appropriate box.]

- (b) Is the PI a full time academic staff in a local self-financing degree-awarding institution, who
- (i) spends at least 80% of time on locally-accredited local degree or higher degree work, and
 - (ii) has at least a one-year renewable contract with the institution at the time of funding award being made?

Yes No

- (c) Please indicate the number of years that the PI works as a full-time academic staff in a local / overseas degree-awarding university / institution at the time of submission of the proposal

- 1 year
- 2 years
- 3 years
- 4 years or above

2. Information on PI and Co-Investigator (Co-I)

- (a) Investigator(s) information, including the average number of hours per week to be spent by the PI and each Co-I on the proposed project:

| | <u>Title / Surname</u> <u>(in capital letters) / other names</u> | <u>Post</u> | <u>Unit / Department / Institution</u> | <u>Average number of hours per week to be spent on project</u> |
|------|---|-------------|--|--|
| PI | | | | |
| Co-I | | | | |

Please indicate if the PI and / or Co-I(s) is / are current RGC Committee / Panel Member(s) as at the deadline of the application:

Yes (Please specify the name of PI / Co-I(s) and the name of RGC Committee / Panel: _____)

NA

(b) Curriculum vitae (CV) of applicant(s)

[Each PI and Co-I should submit a CV in chronological order, and each CV should be at most two A4-sized pages long. All the dates given should be in 'DD/MM/YYYY' format.]

- (i) Name
- (ii) Academic qualifications (with dates and name of awarding universities)
- (iii) Previous academic positions held (with dates)
- (iv) Present academic position(s) (with date(s))
- (v) Previous relevant research work
- (vi) Publication records
 - Five most representative publications in recent five years
 - Five representative publications beyond the recent five-year period with the latest publication entered first
- (vii) Others (please specify):

(c) Plan(s) for collaboration in this application

[Indicate the role and the specific task(s) the PI and each Co-I, if any, is responsible for.]
[*Letter(s) of collaboration can be attached to Section 11 of Part II*]

3. Particulars of the Project

(a) Title of Project

English: _____

Chinese: _____

(b) Nature of Application

New Re-submission Continuation

If the application is a re-submission or continuation, please quote the previous UGC / RGC reference no. here: _____

(c) (i) Research Field

[Please refer to Annex B of the Guidance Notes (FDS2) for the field and the corresponding code.]

Primary Field: _____ & Code: _____

Secondary Field: _____ & Code: _____

(ii) A maximum of five keywords to characterize the work of your proposal
(Maximum of 30 characters for each keyword)

| | |
|--|--|
| | |
| | |
| | |

(iii) Project Duration: _____ months (maximum 36 months)

(iv) Total Amount Requested (excluding on-costs):

HK\$

(d) Abstract of Research comprehensible to a non-specialist

(Maximum of one A4-sized page in standard RGC format)

[Please refer to the Guidance Notes (FDS2) for standard RGC format.]

(e) Provision of Research Experience for Undergraduate Student (see Enclosure I)

Yes No

PART II DETAILS OF THE RESEARCH PROPOSAL

[To be completed by the applicant]

RESEARCH DETAILS

1. Impact and objectives

(Maximum of two A4-sized pages in standard RGC format for the long-term impact and project objectives)

- (a) Long-term impact
- (b) Objectives
[Please list the objectives in point form.]

2. Background of research, research plan and methodology

(Maximum of eight A4-sized pages in total in standard RGC format for (a) and (b) below; no more than thirteen A4-sized pages for this item)

- (a) Background of research
- (b) (i) Research plan and methodology
(ii) A one-page Gantt chart showing the research activities
- (c) A maximum of two non-text A4-sized pages of attached diagrams, photos, charts, and table, etc., if any.
- (d) References
(Full references, including all authors of each reference, should be provided in a maximum of three A4-sized pages listing the publications cited in 1(a)-(b) and 2(a)-(c).)

PROJECT FUNDING**3. Cost and justification****(a) Estimated cost and resource implications:**

[Detailed justification should be given to support the request for each item below. Items without quotations as required will not be considered. Non-permissible items should not be included. Please refer to Guidance Notes (FDS2) Part II Section 3 and SF-DAMA Part III paragraph 21 for details. **Please insert 'NA' where applicable.**]

(Maximum of one A4-sized page in standard RGC format for each item)

| | <u>Year 1</u> <u>(HK\$)</u> | <u>Year 2</u> <u>(HK\$)</u> | <u>Year 3</u> <u>(HK\$)</u> | <u>Total</u> <u>(HK\$)</u> |
|--|--|--|--|---|
| (A) <u>One-line Vote Items</u> | | | | |
| (i) <u>Supporting Staff Costs</u> <i>(Monthly salary x Nos. x Months)</i> | | | | HK\$ |
| <u>Details:</u> | | | | |
| ▸ Senior Research Assistant | | | | |
| ▸ Research Assistant | | | | |
| ▸ Post-doctoral Fellows | | | | |
| ▸ Research Postgraduate Students | | | | |
| ▸ Others <u>(please fill in the post)</u> | | | | |
| Justification: | | | | |
| (ii) <u>Equipment Expenses</u> <i>[please itemize and provide quotations for each item costing over HK\$200,000]</i> | | | | HK\$ |
| Quotation Provided: Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | |
| <u>Details:</u> | | | | |
| ▸ _____ | | | | |
| ▸ _____ | | | | |
| ▸ _____ | | | | |
| Justification: | | | | |

| | <u>Year 1</u> <u>(HK\$)</u> | <u>Year 2</u> <u>(HK\$)</u> | <u>Year 3</u> <u>(HK\$)</u> | <u>Total</u> <u>(HK\$)</u> |
|--|--------------------------------|--------------------------------|--------------------------------|-------------------------------|
| <p>(iii) Outsourcing Expenses of Research Work Outside Hong Kong <i>[please itemize your cost estimation with justification and provide quotations for each work costing over HK\$200,000; and provide detailed justification of sample sizes and costs for surveys conducted outside Hong Kong.]</i></p> <p>Quotation Provided: Yes <input type="checkbox"/> No <input type="checkbox"/></p> | | | | HK\$ |
| <u>Details:</u> | | | | |
| ▶ _____ | | | | |
| ▶ _____ | | | | |
| ▶ _____ | | | | |
| Justification: | | | | |
| <p>(iv) General Expenses <i>[please itemize and provide quotations for services / purchase costing over HK\$100,000; and provide detailed justification of sample sizes and costs for surveys conducted in Hong Kong.]</i></p> <p>Quotation Provided: Yes <input type="checkbox"/> No <input type="checkbox"/></p> | | | | HK\$ |
| <u>Details:</u> | | | | |
| ▶ _____ | | | | |
| ▶ _____ | | | | |
| ▶ _____ | | | | |
| Justification: | | | | |

| | <u>Year 1</u> <u>(HK\$)</u> | <u>Year 2</u> <u>(HK\$)</u> | <u>Year 3</u> <u>(HK\$)</u> | <u>Total</u> <u>(HK\$)</u> |
|--|--------------------------------|--------------------------------|--------------------------------|-------------------------------|
| (v) Conference Expenses <i>[up to HK\$20,000 per year]</i> | | | | HK\$ |
| Justification: | | | | |
| (vi) Expenses for dissemination of the deliverables of research | | | | HK\$ |
| <u>Details:</u> | | | | |
| ▸ _____ | | | | |
| ▸ _____ | | | | |
| ▸ _____ | | | | |
| Justification: | | | | |
| Sub-total for (A) (One-line Vote Items): | | | | HK\$ |
| (B) Earmarked Items | | | | |
| (vii) Costs for Employment of Relief Teacher | | | | HK\$ |
| ▸ Rank of Relief Teacher: (please fill in the rank) _____ | | | | |
| ▸ Proposed Monthly salary x Months: _____ x _____ | | | | |
| <u>Supplementary Information:</u> | | | | |
| ▸ Number of course(s) the PI is currently teaching in an academic year: _____ | | | | |
| <i>[please include course(s) for locally-accredited local degree or higher degree work only]</i> | | | | |
| ▸ No. of course(s) the Relief Teacher will teach in an academic year: _____ | | | | |
| <i>[please include course(s) for the local degree or higher degree work only]</i> | | | | |

| | <u>Year 1</u> <u>(HK\$)</u> | <u>Year 2</u> <u>(HK\$)</u> | <u>Year 3</u> <u>(HK\$)</u> | <u>Total</u> <u>(HK\$)</u> |
|---|--------------------------------|--------------------------------|--------------------------------|-------------------------------|
| Justification: | | | | |
| (viii) Expenses of Research Experience for Undergraduate Students <i>[See Enclosure 1 paragraph 2 for Provision of Research Experience for Undergraduate Students]</i> | | | | HK\$ |
| Details and Justification: | | | | |
| (ix) High-performance Computing Services Expenses <i>[up to HK\$100,000]</i> Quotation Provided: Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | HK\$ |
| Justification: | | | | |
| (x) Research-related Software Licence / Dataset <i>[please itemize and provide quotations for each item]</i> Quotation Provided: Yes <input type="checkbox"/> No <input type="checkbox"/> | | | | HK\$ |
| Justification: | | | | |
| Sub-total for (B) (Earmarked Items): | | | | HK\$ |
| (xi) Total cost of the project (A) + (B) | | | | HK\$ |
| (C) <u>Deduction Items</u> | | | | |
| (xii) Less: Other research funds secured from other sources | | | | HK\$ |

| | <u>Year 1</u> <u>(HK\$)</u> | <u>Year 2</u> <u>(HK\$)</u> | <u>Year 3</u> <u>(HK\$)</u> | <u>Total</u> <u>(HK\$)</u> |
|---|--------------------------------|--------------------------------|--------------------------------|-------------------------------|
| (D) Amount requested in this application (A) + (B) – (C) | | | | HK\$ <input type="text"/> |
| (E) Auditing expenses | | | | HK\$ <input type="text"/> |
| (F) Total amount requested (D) + (E) | | | | HK\$ <input type="text"/> |
| (G) On-costs (15% of approved cost on (D)) | | | | HK\$ <input type="text"/> |
| (H) Grand total for this application (F) + (G) | | | | HK\$ <input type="text"/> |

(b) Declaration on the Equipment Procurement:

- (i) I declare that no equipment is required.
- OR
- (ii) I declare that the equipment indicated in 3(a)(A)(ii) above is not available in the institution.
- OR
- (iii) I declare that all or some of the equipment (please provide details) indicated in 3(a)(A)(ii) above is available in the institution but cannot be used by PI for the following reasons.

Details and Reasons: *(Maximum of one A4-sized page in standard RGC format)*

(c) Declaration on employment of relief teacher

- (i) I declare that no relief teacher is required.
- OR
- (ii) I declare that I currently do not hold any grant for employment of relief teacher for any on-going project under UGC / RGC funding schemes.
- OR
- (iii) I declare that I hold funding for employment of relief teacher from the following on-going project(s) under UGC / RGC funding schemes.
 Project No.:
 Project Title:
 Project Period:
 Approved Amount for Relief Teacher:

(d) Declaration on high-performance computing services

- (i) I declare that no high-performance computing services are required.
- OR
- (ii) I declare that the high-performance computing services indicated in 3(a)(B)(ix) above is not available in the institution.
- OR
- (iii) I declare that all or some of the high-performance computing services (please provide details) indicated in 3(a)(B)(ix) above is available in the institution but cannot be used by PI for the following reasons.

Details and Reasons: *(Maximum of one A4-sized page in standard RGC format)*

(e) Declaration on the research-related software licence / dataset

(i) I declare that no research-related software licence / dataset is required.

OR

(ii) I declare that the research-related software licence / dataset indicated in 3(a)(B)(x) above is not available in the institution.

OR

(iii) I declare that all or some of the research-related software licence / dataset (please provide details) indicated in 3(a)(B)(x) above is available in the institution but cannot be used by PI for the following reasons.

Details and Reasons: *(Maximum of one A4-sized page in standard RGC format)*

4. Existing facilities and major equipment available for this research project

(Maximum of one A4-sized page in standard RGC format)

5. Funds secured or to be secured

- (a) Other research funds already secured for this research proposal:
[This amount will be deducted from the total cost of the project.]

Source

Amount (HK\$)

- (b) Other research funds to be or are being sought for this research proposal.
[If funds under this item are secured, the amount of the funding to be awarded under FDS may be reduced.]

Source

Amount (HK\$)

DECLARATION OF SIMILAR OR RELATED PROPOSALS

[Please refer to the Guidance Notes (FDS2) for information required and implications for non-disclosure of similar or related proposals]

[According to the Guidance Notes (FDS2), if the PI and / or Co-I(s) fails to declare similar / related projects / proposals in this section, the application may be disqualified and the PI and / or Co-I(s) may be debarred from applying future UGC / RGC grants.]

6. Re-submission of a proposal previously NOT supported

- (a) Is this proposal a re-submission or largely similar to a proposal that has been submitted to but not supported by the UGC / RGC or other funding agencies?

Yes

No

If yes, please give the following details –

Funding agency(ies): _____

Funding programme(s) / scheme(s): _____

Reference No(s): _____

[for UGC / RGC projects only]

Project Title(s): _____

[if different from Section 3(a) of Part I above]

Date (month / year) of application(s): _____

Outcome: _____

- (b) If this application is the same as or similar to the one(s) submitted but not supported previously, what were the main concerns / suggestions of the reviewers on the proposal(s)?
- (c) Please give a brief response to the points mentioned in (b) above, highlighting the major changes that have been incorporated in this application.

7. **Grant Record of Investigator(s)**

[Please note that any information listed on the CV at Part I Section 2(b) will NOT be regarded as fulfilling the declaration requirements in this section.]

- (a) **PI** - Details of research projects undertaken and proposals submitted by the PI (in the capacity of a PI / Project Coordinator (PC) / Co-PI / Co-I / Project holder ^ / Team leader ^) including:
- (i) completed research projects funded from all sources (irrespective of whether from UGC / RGC) in the past five years;
 - (ii) on-going research projects funded from all sources (irrespective of whether from UGC / RGC);
 - (iii) terminated projects funded by UGC / RGC in the past five years;
 - (iv) unsuccessful proposals or withdrawn projects submitted to UGC / RGC in the past five years; and
 - (v) proposals pending funding approval (including FDS, IDS and IIDS in this funding exercise)

by filing in Table 7(a) below.

- (b) **Co-I(s)** - Details of research projects funded from all sources by each Co-I (in the capacity of a PI / PC / Project holder / Team leader) including:
- (i) on-going research projects funded from all sources (irrespective of whether from UGC / RGC); and
 - (ii) proposals pending funding approval (including FDS, IDS and IIDS in this funding exercise)

by filing in Table 7(b) below.

For any research project(s) / proposal(s) (irrespective of whether submitted to / funded by UGC / RGC) which is / are similar or related to this application, regardless of the period of time, you are required to state them in the relevant tables and provide an explanation on the differences between such project(s) / proposal(s) and this application (Maximum of one A4-sized page in standard RGC format for each project / proposal). [Please explain if you have difficulty in making the declaration.]

^ Project holder / Team leader refers to projects under the Institutional Development Scheme.

7.(a) PI - Details of research projects undertaken and proposals submitted by the PI (in the capacity of a PI / PC / Co-PI / Co-I / Project holder / Team leader)

(i) Completed research projects funded from all sources

| Project Ref. No. | Project Title | Project Objectives | Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader) | Funding Source(s) and Amount (HK\$) | Project Period | Similar or Related to the Current Application (Y# / N) | Completed Within the Past Five Years (Y / N) |
|------------------|---------------|--------------------|--|--|----------------|--|--|
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Please explain the differences between the completed project(s) which is/are similar or related to this application

| Project Ref. No. | Explanations |
|------------------|--------------|
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(ii) On-going research projects funded from all sources

| Project Ref. No. | Project Title | Project Objectives | Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader) | Funding Source(s) and Amount (HK\$) | Project Period | No. of Hours Per Week Spent in Each Project (except in the capacity of Co-I) | Similar or Related to the Current Application (Y# / N) |
|------------------|---------------|--------------------|--|-------------------------------------|----------------|--|--|
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Please explain the differences between the on-going project(s) which is/are similar or related to this application

| Project Ref. No. | Explanations |
|------------------|--------------|
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(iii) Terminated projects funded by UGC / RGC

| Project Ref. No. | Project Title | Project Objectives | Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader) | Funding Source(s) and Amount (HK\$) | Start Date and Date of Termination | Similar or Related to the Current Application (Y [#] / N) | Terminated Within the Past Five Years (Y / N) |
|------------------|---------------|--------------------|--|---|--|--|---|
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Please explain the differences between the terminated project(s) which is/are similar or related to this application

| Project Ref. No. | Explanations |
|------------------|--------------|
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(iv) Unsuccessful proposals or withdrawn projects submitted to UGC / RGC

| Proposal / Project Ref. No. | Project Title | Project Objectives | Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader) | Funding Source(s) and Amount (HK\$) | Scheduled Project Period | Similar or Related to the Current Application (Y# / N) | Unsuccessful Proposals or Project Withdrawn Within the Past Five Years (Y / N) |
|-----------------------------|---------------|--------------------|---|-------------------------------------|--------------------------|---|---|
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Please explain the differences between the unsuccessful proposal(s) / withdrawn projects that is/are similar or related to this application

| Proposal / Project Ref. No. | Explanations |
|-----------------------------|--------------|
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(v) Proposals pending funding approval (including FDS, IDS and IIDS in this funding exercise)

| Proposal Ref. No. | Project Title | Project Objectives | Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader) | Funding Source(s) and Requested Amount (HK\$) | Estimated Project Period | No. of Hours Per Week to be Spent in Each On-Going Project (except in the capacity of Co-I) | Similar or related to the current application (Y# / N) |
|-------------------|---------------|--------------------|--|--|--------------------------|---|---|
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Please explain the differences between the proposal(s) pending funding approval that is/are similar or related to this application

| Proposal Ref. No. | Explanations |
|-------------------|--------------|
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7.(b) Co-I(s) - Details of research projects funded from all sources by each Co-I (in the capacity of a PI / PC / Project holder / Team leader capacity)

(i) On-going research projects funded from all sources

| Name of Co-I(s) | Project Ref. No. | Project Title | Capacity (PI / PC / Project holder / Team leader) | Funding Source(s) and Amount (HK\$) | Project Period | Similar or Related to the Current Application (Y# / N) |
|-----------------|------------------|---------------|--|--|----------------|--|
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Please explain the differences between the on-going project(s) which is/ are similar or related to this application

| Project Ref. No. | Project Objectives | Explanations |
|------------------|--------------------|--------------|
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(ii) Proposals pending funding approval (including FDS, IDS and IIDS in this funding exercise)

| Name of Co-I(s) | Proposal Ref. No. | Project Title | Capacity (PI / PC / Project holder / Team leader) | Funding Source(s) and Requested Amount (HK\$) | Estimated Project Period | Similar or Related to the Current Application (Y# / N) |
|-----------------|-------------------|---------------|--|---|-----------------------------|--|
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Please explain the differences between the proposal(s) pending funding approval that is / are similar or related to this application

| Project Ref. No. | Project Objectives | Explanations |
|------------------|--------------------|--------------|
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ANCILLARY INFORMATION**8. Research Ethics / Safety Approval and Access to Government / Official / Private Data and Records**

[Please refer to Part II Section 8 of in the Guidance Notes (FDS2) for the responsibilities and implications]

(a) Research Ethics / Safety Approval

(i) I confirm that the research proposal

involves human subjects.

OR

does not involve human subjects.

(ii) Please tick '✓' in the appropriate boxes to confirm if approval for the respective ethics and / or safety issues is required and has been / is being obtained from the PI's institution. PIs are encouraged to seek necessary approval before application deadline as far as possible.

| | <u>Approval not required</u> | <u>Approval obtained</u> | <u>Approval being sought</u> |
|-------------------------------|----------------------------------|------------------------------|----------------------------------|
| Human research ethics | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Animal research ethics | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Biological safety | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Ionizing radiation safety | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Non-ionizing radiation safety | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Chemical Safety | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

(iii) If approval is required by **other authorities**, please indicate below the names of the authorities and the prospects of obtaining such approval. If not applicable, please put 'NA'.

Names of authority(ies):

(b) Access to Government / Official / Private Data and Records

- (i) Is access to Government or official or private data and records critical to the research proposal?

Yes No

If approval is required, please indicate below the names of the agency(ies) of obtaining such approval.

- (ii) Please tick '✓' in the appropriate boxes to confirm if approval for access to the related data / records has been / is being obtained from the relevant agency(ies). If approval has been obtained, please provide evidence.

| <u>Names of agency(ies)</u> | <u>Approval not required</u> | <u>Approval obtained</u> | <u>Approval being sought</u> |
|-----------------------------|------------------------------|--------------------------|------------------------------|
| <hr/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <hr/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <hr/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <hr/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <hr/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

[Note: PIs are encouraged to seek necessary approval before application deadline as far as possible.]

9. Release of completion report, data archive possibilities and public access of publications resulting from research funded by the RGC

(a) Is the proposed project likely to generate data set(s) of retention value?

Yes No

If yes, please describe the nature, quantity and potential use of the data set(s) in future.

(b) Are you willing to make the data set(s) available to others for reference twelve months after the publication of research results or upon the completion of this proposed project?

Yes No

I / We understand that the RGC will release the completion report to the public and only considers data archiving requests after the completion of the RGC-funded project. The RGC has full discretion in funding the archiving requests. Data sets archived with RGC funds will require users to acknowledge the originator and the RGC. The originator will also be provided with copies of all publications derived from the use of the data.

I undertake to include in the project completion report the URL links to the institution's repository or the publishers' websites so that the public could have quick and easy access to the manuscripts or journal articles. I will also consider to include in the research completion report the data repository where research data of the project could be accessed and shared, where appropriate.

I undertake that upon acceptance of a paper for publication,

- (i) I will check whether the publisher already allows (A) full open access to the publisher's version, or (B) my depositing a copy of the paper (either the publisher's version or the final accepted manuscript after peer-review) in the institutional repository for open access;
- (ii) if both (i)(A) and (B) above are not allowed, I will request the publisher to allow me to place either version in my institutional repository for restricted access immediately upon publication or after an embargo period of up to twelve months if required by the publisher; and
- (iii) subject to the publisher's agreement on (i) and (ii) above, I will deposit a copy of the publication in my institutional repository as early as possible but no later than six months after publication or the embargo period, if any.

10. Technology Transfer Plan, Letters of Collaboration and Supporting Documents*(Maximum of one A4-sized page in standard RGC format for each item)*

[According to the Guidance Notes (FDS2), applications will be disqualified if the proposals are found to have abused the purpose of this section.]

Appendix 1: Technology Transfer Plan (Optional, up to one A4 page)

To take forward the Director of Audit's recommendation that a closer link with the Innovation and Technology Fund (ITF) should be enhanced, applicants are invited to submit an optional technology transfer plan at the application stage. Any funded projects with technology transfer plans submitted will be passed to the Innovation and Technology Commission, who will keep in view these projects for possible ITF support in the future. The technology transfer plan will not be assessed by the RGC for the purpose of funding allocation.

Appendix 2: Letters of Collaboration and supporting documents

Principal Investigator

Signature : _____

Title / Name : _____
(in BLOCK letters)

Designation : _____

Institution : _____

Date : _____

PART III INSTITUTIONAL ENDORSEMENT AND DECLARATION OF RESEARCH ETHICS / SAFETY APPROVAL

[To be completed and signed by the appropriate authority of the institution. The institution should confirm that it has evaluated and given support to the application before submission to the RGC.]

INSTITUTIONAL ENDORSEMENT

(*Please tick '✓' as appropriate in the boxes)

1. Eligibility Requirement for FDS

I confirm that:

- (a) the application has been evaluated and endorsed by the institution for submission to the RGC;
- (b) the PI fully meets the eligibility as stated in Part I Section 1(b) and is not debarred from applying for any UGC / RGC grants;
- (c) the applicant's statement in Part I Section 1(c) is genuine and true;
- (d) the applicant's declared teaching load at Part II Section 3(a)(B)(vii) has been verified correct (only for the case where the applicant is seeking funding support for relief teacher);
- (e) the salary for the relief teacher proposed by the PI does not exceed the salary of the PI;
- (f) the applicant will have the average number of hours per week as declared in Part I Section 2(a) to supervise the proposed project without prejudice to his / her existing commitment in other research work, teaching and administrative duties;
- (g) the applicant will abide by the in-house guidelines of the institution, as well as the relevant guidelines as set out by the RGC and the ICAC, whichever is more stringent, regarding procurement of facilities / equipment / services and for recruitment of supporting staff;
- (h) the institution will inform the RGC as soon as the PI ceases to be eligible to apply, receive or hold an FDS grant, and will withdraw the application; or recommend to the RGC for approval of a suitable new PI, if applicable⁺, to take over the funded project once it is funded and commenced;
- (i) the institution understands that the FDS grant, if given, will be withdrawn if the project does not start within one year of the announcement of funding result. The institution should report to the RGC as soon as possible when a PI proceeds on no-pay leave / professional leave for a continuous or cumulative period exceeding 183 days within the project period; and

⁺ As a matter of policy, change of PI will normally not be approved within the first six months of an approved project and during the process of the application. However, change of PI from the 7th month may be considered by the RGC under the circumstances as stipulated in the SF-DAMA.

- (j) the institution understands that if the project is approved, additional funding sources may need to be provided to the funded project to ensure that the project can be successfully completed. Apart from contributions towards specialized equipment, the institution will provide necessary infrastructural and overhead supports such as normal academic equipment, consumables, postage, fax, stationery, reference books, overseas telephone charges, etc. to the approved projects as appropriate.

INSTITUTIONAL COMMITMENTS

2. Support to PI

I fully understand that the primary duty of the PI, having received RGC grant, is to complete the project according to plan and I hereby confirm that:

- (a) the research project under this FDS application

is

is not

in line with the role of the institution.

- (b) adequate supervision, research facilities and training provisions

will

will not

be in place to meet the need of Research Assistant(s) / Post-doctoral Fellow / Research Postgraduate Students / Undergraduate Student Helpers so employed under the research grant if this application is supported by the RGC.

- (c) no equipment is required.

the PI's declaration and reasons in Part II Section 3(b) are genuine and true; and I support the PI's request for this procurement of equipment.

- (d) no outsourcing outside Hong Kong is required.

the PI's justification at Part II Section 3(a)(A)(iii) is reasonable and I support the PI's application for outsourcing the stated work outside Hong Kong.

- (e) no relief teacher is required.
- the PI's declaration in Part II Section 3(c) is true and correct and I support the PI's request for this employment of relief teacher.
- (f) no high-performance computing services is required.
- the PI's declaration and reasons in Part II Section 3(d) are true and correct and I support the PI's request for this subscription of high-performance computing resources.
- (g) no research-related software licence / dataset is required.
- the PI's declaration and reasons in Part II Section 3(e) are genuine and true; and I support the PI's request for this procurement of the research-related software licence / dataset.
- (h) this application does not include requests for purchasing normal academic equipment, computer, consumables, postage, fax, stationery, overseas telephone charges, and standard software licence / dataset known to be available or reasonably expected to be provided in the institutions concerned.
- (i) this application
- has
- has not (Please provide reasons for not scanning by anti-plagiarism software)
- been scanned by anti-plagiarism software.

[Please note that the application will not be processed if it has not been scanned by anti-plagiarism software unless the institution is able to provide reasons that are considered justifiable by the RGC.]

3. Declaration of Research Ethics / Safety Approval and Access to Government / Official / Private Data and Records

(Please tick '✓' as appropriate in the boxes)

(a) Research Ethics / Safety Approval

I have examined the research proposal and confirm that:

(i) the research proposal does not involve human subjects.

OR

the research proposal involves human subjects

and human research ethics approval has been obtained.

approval is being sought.

approval not required / exemption has been obtained.

exemption is being sought.

(ii) the approval of the appropriate authority(ies) is / are not required or has been / will be obtained in respect of the following:

| | <u>Approval not required</u> | <u>Approval obtained</u> | <u>Approval being sought</u> |
|-------------------------------|------------------------------|--------------------------|------------------------------|
| Animal research ethics | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Biological safety | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Ionizing radiation safety | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Non-ionizing radiation safety | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Chemical Safety | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

(b) Access to Government / Official / Private Data and Records

I have examined the research proposal and confirm that

(i) the approval of the appropriate authority(ies) is / are:

required

not required

- (ii) the approval of the appropriate agency(ies) has been / will be obtained in respect of the following :

| <u>Names of agency(ies)</u> | <u>Approval not required</u> | <u>Approval obtained</u> | <u>Approval being sought</u> |
|-----------------------------|------------------------------|--------------------------|------------------------------|
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| _____ | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

For (a) and (b) above, where such approval is required but has not yet been obtained, the institution will ensure that it will be obtained without delay. The institution understands that if no confirmation of such approval is provided to the RGC by 29 June 2018, the RGC will regard this FDS application as being withdrawn and will stop further processing it.

Signature : _____

Title / Name : _____
(in BLOCK letters)

Designation : _____

Institution : _____

Date : _____

UGC Secretariat
November 2017