

RGC Ref. No.:

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 (to be assigned and filled in by institution)

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

**INSTITUTIONAL DEVELOPMENT SCHEME (IDS)**

**Application Form (IDS1)**

*Important Notes to the Applicant*

1. *Please read the Explanatory Notes IDS2 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 (IDS2 (Nov 2017)), the Circular for the Call for Proposals and the SF-DAMA.*

**PART I SUMMARY OF THE PROPOSAL**

**1. Particulars of the Applicant<sup>^</sup>**

(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 title: \_\_\_\_\_

Institution: \_\_\_\_\_

Contact Tel. no.: \_\_\_\_\_ Email: \_\_\_\_\_

Institution website (if any): \_\_\_\_\_

<sup>^</sup> Applicant must be the Head of Institution.

## 2. Particulars of Project Team

### (a) List of Project Team Members

<u>Capacity</u>	<u>Title / Surname (in capital letters) / Other Names</u>	<u>Post</u>	<u>Unit / Department / Institution</u>	<u>Average number of work hours per week to be spent on this project</u>
Team leader				
Team member *				

\* Please copy and paste the row to add more entries as appropriate.

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

(b) Is the Team leader 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

Please indicate if the applicant, Team leader or any Team member(s) is / are current RGC Committee / Panel Member(s) as at the deadline of the application:

Yes (Please specify the name of applicant, Team leader or Team member(s) and the name of RGC Committee / Panel: \_\_\_\_\_)

NA

### (c) Curriculum vitae (CV) of project team member(s)

[Each Applicant, Team leader and Team member 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):

**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) Abstract of the proposed programme

*(Maximum of one A4-sized page in standard RGC format [please refer to IDS2 para. 7 under "General" Section.]*)

- (d) Implementation time-table (
- Annex A**
- )

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

- (e) Project Duration: \_\_\_\_\_ months
- (Maximum 36 months)*

- (f) Total amount requested in this application:

[The amount shown here should be the same as that shown in Part II 3(a) below.]

HK\$ **4. Information on the Funded IDS Project(s)**

[Only institutions with funded IDS project are required to fill in this part.]

- (a) One-page Summary (
- Part II of Annex B**
- )

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

- (b) Utilization of Asset funded by IDS (
- Annex C**
- )

*(Maximum of one A4-sized page in standard RGC format per project)***5. Summary of Courses, Staff and Student Numbers (as at 28 February 2018)**[Please provide the number of courses, academic staff and students in **Annex D.**]

## **PART II DETAILS OF THE PROPOSED PROJECT**

### **PROJECT 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  
[State how the proposal will help the institution to build and improve the research capacity in its strategic areas in a long run.]
- (b) Project Objectives  
[Please list the objectives in point form.]

#### **2. Project descriptions**

*(Maximum of four A4-sized pages in standard RGC format [please refer to IDS2 para. 7] for each item below)*

- (a) Programme on Activities to Support Research:  
Proposal on organization of Conference / Seminar / Workshop / Exchange Programme or a series of activities that support research
- (b) Asset Purchase and Infrastructure / Physical Research Structure Establishment to Support Research:  
Proposal on (i) asset purchase such as acquisition of research facilities, communal equipment, software licence, dataset, and / or (ii) infrastructure / physical research structure building such as research centre, research supporting unit. Please provide Research Facilities Development / Utilization Plan (including plan for share use of the equipment within the institution and between the UGC-funded universities or eligible local self-financing degree-awarding institutions).
- (c) Support Staff Development Plan  
*(e.g. administrative and technical supporting staff to be employed to support research activities)*

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

[The budget plan should be made in conjunction with the milestones set out in the Implementation Time-table in **Annex A**. Please refer to Part II Section 3 of the Guidance Notes (IDS2) and SF-DAMA for items permissible in the budget. Please insert 'NA' / 'Nil' where applicable.]

	<b><u>Year 1</u></b> <b><u>(HK\$)</u></b>	<b><u>Year 2</u></b> <b><u>(HK\$)</u></b>	<b><u>Year 3</u></b> <b><u>(HK\$)</u></b>	<b><u>Total</u></b> <b><u>(HK\$)</u></b>
<b>(i) Research Support Activities</b> <i>[please itemize each activity]</i>				HK\$
<u>Details:</u>				
▸ _____				
▸ _____				
<b>(ii) Facilities and Equipment</b> <b>(including equipment / software licence)</b> <i>[please itemize each facility / equipment]</i>				HK\$
<u>Details:</u>				
▸ _____				
▸ _____				
<b>(iii) Supporting Staff</b> <i>[please itemize each staff member]</i> 1. Post 2. Monthly salary x Nos. x Months				HK\$
<u>Details:</u>				
▸ _____				
▸ _____				
<b>(iv) Total Cost of the Project</b> <b>(i) + (ii) + (iii)</b>				HK\$
<b><u>Less: Deduction Items</u></b>				HK\$
<b>(v) Other funds secured from other sources</b>				HK\$
<b>(vi) Sub-total (iv) - (v)</b>				HK\$

<b>(vii) Auditing expenses</b>	<b>HK\$</b>
<b>(viii) Total amount requested in this application (vi) + (vii)</b>	<b>HK\$</b>

(b) Justification for each item of the budget in the three categories of Section 3(a) above:  
(Maximum of one A4-sized page in RGC standard format for each item)

- (i) Research support activities
- (ii) Facilities and equipment
- (iii) Supporting staff

[Detailed justification should be given to support the request for each item in each category. Any item over HK\$200,000 without quotations will not be considered.]

(c) Declaration on the Equipment Procurement:

- (i) I declare that no equipment is required.
- OR
- (ii) I declare that the equipment indicated in 3(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)(ii) above is available in the institution but additional sets are needed for the following reasons.

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

(d) 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)(ii) 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)(ii) above is available in the institution but additional sets are needed for the following reasons.

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

- (e) Is / Are there any similar / related proposal(s) **being submitted** by the applicant / institution to other competitive funding schemes of the UGC / RGC / other funding agency(ies) (e.g. Innovation and Technology Commission, Hong Kong Jockey Club, etc.)?

Yes  No

If yes, please give the following details:  
(Maximum of one A4-sized page in standard RGC format)

- (i) The funding agency(ies) and the funding programme(s)
- (ii) Reference No(s).
- (iii) Project title(s)
- (iv) A brief account of the proposal(s) including month and year of application and an explanation on the differences between the proposal(s) concerned and this application

- (f) Is / Are there any similar / related proposal(s) has / have **already funded** by other competitive funding schemes of the UGC / RGC / other funding agency(ies) (e.g. Innovation and Technology Commission, Hong Kong Jockey Club, etc.)?

Yes  No

If yes, please give the following details (excluding IDS):  
(Maximum of two A4-sized pages in standard RGC format)

- (i) The funding agency(ies) and the funding programme(s)
- (ii) Reference No(s).
- (iii) Project title(s)
- (iv) A brief account of the proposal(s) including month and year of application and an explanation on the differences between the proposal(s) concerned and this application

- (g) Is there any on-going / completed IDS project held by the institution?

Yes  (Please complete Part I & II of Annex B and also Annex C)

No  (Please complete Part I of Annex B)



- (h) Is / Are there any component(s) of program activities included in the proposal has / have **already funded** by other competitive funding schemes (excluding IDS) of the UGC / RGC / other funding agency(ies) (e.g. Innovation and Technology Commission, Hong Kong Jockey Club, etc.)?

Yes  No

If yes, please give the following details:

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

- (i) The funding agency(ies) and the funding programme(s)
- (ii) Reference No(s).
- (iii) Project title(s)
- (iv) A brief account of the proposal(s) including month and year of application and an explanation on the differences between the proposal(s) concerned and this application.

#### 4. **Funds secured or to be secured**

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

<u>Source</u>	<u>Amount (HK\$)</u>
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- (b) Other funds to be or are being sought for this proposal:  
[If funds under this item are secured, the amount of the funding to be awarded under IDS may be reduced.]

<u>Source</u>	<u>Amount (HK\$)</u>
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**ANCILLARY INFORMATION****5. Research Ethics / Safety Approval and Access to Government / Official / Private Data and Records**

[Please refer to Part II Section 5 of the Guidance Notes (IDS2) 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 institution. Applicant is encouraged to seek necessary approval before application deadline as far as possible.

	Approval not <u>required</u>	Approval <u>obtained</u>	Approval <u>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 down 'NA'.

Names of authority(ies):

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(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.

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- (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: Applicant is encouraged to seek necessary approval before application deadline as far as possible.]*

**6. 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 the completion of this proposed project?

Yes

No

I 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, if any. 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.

**Applicant**

Signature : \_\_\_\_\_

Title / Name : \_\_\_\_\_  
(in BLOCK letters)

Designation : \_\_\_\_\_

Institution : \_\_\_\_\_

Date : \_\_\_\_\_

**PART III DECLARATION OF INSTITUTION***(Please tick '✓' as appropriate in the boxes)***1. Eligibility Requirement for IDS**

I confirm that:

- (a)  the institution has evaluated and supported the application before submission to the RGC;
- (b)  the Team leader fully meets the eligibility as stated in Part I Section 2(b) and is not debarred from applying for any UGC / RGC grants;
- (c)  the Team leader 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 the research work, teaching and administrative duties;
- (d)  the project team 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;
- (e)  the institution will inform the RGC as soon as there is a change in the Project holder / Team leader and will recommend to the RGC for approval of a suitable new Project holder / Team leader, if applicable<sup>+</sup>, to take over the funded project once it is funded and commenced;
- (f)  the institution understands that the IDS 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 the Project holder / Team leader proceeds on no-pay leave / professional leave for a continuous or cumulative period exceeding 183 days within the project period; and
- (g)  if the project is approved, the institution may top-up partially funded projects from other funding sources to ensure that the project is being realistically worked towards its goals. 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.

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

**2. Support to the Project Team**

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

- (a)  the research project under this IDS application is in line with the role of the institution;
- (b)  adequate supervision, facilities and training provisions will be in place if this application is supported by the RGC;
- (c)  the applicant's declaration and reasons in Part II Section 3(c) and (d) are genuine and true; and the applicant's request, if any, is supported; and
- (d)  the institution will strictly follow the relevant RGC's guidelines during the whole project period to ensure that the project funding is properly used and will return the funding as requested by the RGC when the project is completed / terminated.

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

(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 approval is required, the institution will ensure that such approval will be obtained and provided to the RGC by 29 June 2018, otherwise the institution understands that the RGC will regard this IDS application as a withdrawn case and will stop further processing it.

Signature : \_\_\_\_\_

Title / Name : \_\_\_\_\_  
(in BLOCK letters)

Designation : \_\_\_\_\_

Institution : \_\_\_\_\_

Date : \_\_\_\_\_

UGC Secretariat  
November 2017

**Annex A**

**Research Grants Council**  
**Competitive Research Funding Schemes for the Local Self-financing Degree Sector**

**Institutional Development Scheme (IDS) 2018/19**  
**Implementation Time-table**

Project Reference: \_\_\_\_\_ Institution: \_\_\_\_\_

Project Title: \_\_\_\_\_

<b>Year</b>	<b>Start Date (Month / Year)</b>	<b>Milestones</b>	<b>% of Project expected to be completed</b>
1		1. Please complete 2. ...	
2		1. Please complete 2. ...	
3		1. Please complete 2. ...	
			100%

**Annex B**

**Research Grants Council**  
**Competitive Research Funding Schemes**  
**for the Local Self-financing Degree Sector**

**Institutional Development Scheme (IDS) 2018/19**  
**One-page Summary**<sup>1</sup>

<b>Part I</b>		
Proposal Ref.:		Requested Amount:
Proposal Title:		
Institution:		
Key Objectives and Major Deliverables (in bullet form):	<b>Key Objectives:</b>  <b>Major Deliverables:</b>	
<b>Part II</b>		
On-going / Completed* Project Ref.:		Amount Funded:
Project Title:		
Key Objectives and Major Deliverables (in bullet form):	<b>Key Objectives:</b>  <b>Major Deliverables:</b>	
<b>(For institution with an on-going IDS project)</b> Please explain why a new IDS project is necessary in addition to the on-going project <sup>2</sup> . (in bullet form)		

\* Please delete as appropriate

<sup>1</sup> Please use RGC Format. (Font: Times New Roman; Font Size: 12 point; Margin: 1-inch all around; Spacing: Single-line spacing). *Maximum of one A4-sized page in standard RGC format per project.*

<sup>2</sup> Please elucidate whether and how the proposed project will create synergy with the on-going IDS projects and how their deliverables will complement with each other.

**Annex C**

**Research Grants Council**  
**Competitive Research Funding Schemes**  
**for the Local Self-financing Degree Sector**

**Institutional Development Scheme (IDS) 2018/19**  
**Utilization of Asset funded by IDS**

Please copy and paste the table below to add more entries

<b>Item</b> <i>(e.g. research facilities, communal equipment, software licence, dataset)</i>	
<b>Project Title</b>	
<b>Reference number</b>	
<b>Project status*</b>	On-going / Completed
<b>Brand / Model</b> <i>(if applicable)</i>	
<b>Current status</b>	
<b>Level of utilization</b> <i>(please specify e.g. average usage per month / year)</i>	
<b>Upgrade plan</b>	
<b>Other remarks</b> <i>(e.g. sharing of equipment with other institutions)</i>	

\* Please delete as appropriate

**Annex D**

**Research Grants Council**  
**Competitive Research Funding Schemes**  
**for the Local Self-financing Degree Sector**

**Institutional Development Scheme (IDS) 2018/19**  
**Summary of Courses, Staff and Student Numbers**  
**(Position as at 28 February 2018)**

Institution: \_\_\_\_\_

**A. Academic Programme**

Please provide details of full-time and part-time self-financing locally-accredited local degree programmes offered by your institution:

<b>Item Nos.</b>	<b>School / Faculty</b>	<b>Name of undergraduate degree programmes</b>	<b>Full-time / Part-time</b>	<b>No. of Students</b>
<b>Total</b>				

<b>Item Nos.</b>	<b>School / Faculty</b>	<b>Name of postgraduate degree programmes</b>	<b>Full-time / Part-time</b>	<b>No. of Students</b>
<b>Total</b>				

**B. Staff Structure**

Full time Academic staff spending 80% or more of their time in self-financing locally-accredited local degree or local higher degree work:

<b><u>School / Faculty</u></b>	<b><u>Staff Grades</u>*</b>	<b><u>Number of Staff</u></b>
<b>Total</b>		

\*Please provide actual staff grades and ranks, and "others" is not acceptable in this column.