

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

**Research Grants Council
July 2015**

Part I - General

These guidelines set out the disbursement, accounting and monitoring arrangements for research funding schemes¹ administered by the Research Grants Council (RGC). Project Coordinators (PCs) and Principal Investigators (PIs) and their respective institutions should observe the requirements in the guidelines and check with the UGC Secretariat where clarification is needed.

Research Funding Schemes Administered by the Research Grants Council

2. The principal source of funding available to a University Grants Committee (UGC)-funded institution in Hong Kong to support research and other professional and scholarly activity is the institutional recurrent or block grant. A significant proportion of the institutional recurrent grant is provided to support the infrastructure, staff time and overhead costs associated with faculty research and professional/scholarly activities. Research grants are also provided through other channels, including the Central Allocation Vote of the UGC (for the Areas of Excellence Scheme) and the investment income of the Research Endowment Fund (REF). These UGC grants are disbursed on a competitive basis through different funding schemes to support academic research by the academics and students of the UGC-funded institutions. A list of research funding schemes administered by the RGC is at **Annex A**.

Roles of Institutions

(A) Grant Undertakings

3. UGC grants, though awarded to specific projects in the names of individual PCs/PIs, are actually grants allocated to institutions. By accepting the grants and signing the grant undertakings (if applicable), the institutions and PCs/PIs agreed to abide by all the relevant UGC/RGC guidelines on disbursement, accounting and monitoring arrangements.

(B) Designated Bank Accounts

4. Institutions are required to open a separate interest-bearing bank account with a licensed bank registered under the Banking Ordinance (Cap. 155) solely for depositing receipts and making payments in relation to the grants funded by the REF (see **Annex A**). All interest income generated in the said bank account should be kept in the account and returned to the UGC/RGC as appropriate on an annual basis together with supporting document such as bank statement before end of January of each year (i.e. interest received from January to December should be returned in January of the following year). A separate ledger designated for the sole purpose of keeping and transacting all monies of the

¹ Separate guidelines are issued for the Areas of Excellence Scheme and Theme-based Research Scheme.

grants funded by the REF should be kept. Bank reconciliation should be prepared promptly and regularly, at least once a month, of the balance as shown in the ledger. Institutions should also draw up proper instructions and guidelines regarding the conduct of business through the said bank account.

(C) Auditors' Reports

5. Institutions are required to set out the UGC/RGC research funding in the annual audited financial statements submitted to the UGC. The assurance report should be issued by independent auditors who must be certified public accountants holding a practising certificate registered under the Professional Accountants Ordinance (Cap. 50) (the Auditors) and conducted in accordance with the latest edition of the notes issued by the UGC.

6. Institutions should specify in the engagement letter for the employment of the Auditors that they should follow the requirements and the specimen stipulated in the latest version of the UGC Notes on Procedures in conducting a reasonable assurance engagement and preparing auditors' report. The institutions and PCs/PIs are required to make available to the Auditors all information, invoices/receipts, documents, and explanations relating to the projects.

7. In case a project has been transferred to another institution during the project period, the last institution should be responsible for submission of all the necessary report(s) and Statement of Accounts covering the entire project period at one go. The last institution should also include the project in their consolidated project account and assurance report after project completion/termination.

(D) Internal Monitoring by Institutions

8. While the PC/PI is held responsible for the overall management, implementation and completion of a research project, the institution is also required to assume the important role of managing the projects and expenditures, overseeing the procurement of equipment/services approved under the projects and putting in place a due internal monitoring system.

9. Institutions should make reference to the "Corruption Prevention Guide for Tertiary Education Institutions" issued by the Independent Commission Against Corruption (ICAC) in the procurement of equipment, services and other materials for the projects. Institutions should also make reference to the "Best Practice Checklist on Staff Administration" issued by the ICAC in the employment of project staff for the projects. The PCs/PIs and relevant project staff should always avoid and declare conflicts of interest in the conduct of business of the projects.

10. 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.

(E) Keeping of Records

11. Institutions are required to keep all accounting records related to the UGC/RGC project grants for seven years for inspection when needed. Other project records such as working papers or publications should be kept for at least three years after project completion/termination.

Disbursement, Accounting and Monitoring Arrangements

12. The disbursement, accounting and monitoring arrangements in Part II to IV below are generally applicable to the projects approved under all funding schemes covered by these guidelines, unless otherwise specified in Annexes B to G.

13. The UGC / RGC assumes no responsibility, financial or otherwise, for expenditure or other liabilities arising from the research projects it supported.

14. The RGC reserves the rights to amend, supplement, apply, interpret and make exception to these guidelines.

Part II - Disbursement Arrangement

15. From the 2015/16 academic year onwards, the RGC will adopt the following disbursement arrangements²:

Project Duration ³	Grant Size per Project	Disbursement Arrangement
12 months or less	Irrespective of grant size	One-off payment in the year of approval.
13 to 36 months	(a) (i) Projects of \$800,000 or above approved under E, M & P Panels (ii) Projects of \$600,000 or above approved under B & H Panels (see notes below)	<u>First instalment</u> 60% in the year of approval. <u>Second instalment</u> 40% subject to satisfactory assessment of annual/mid-term progress report.
	(b) (i) Projects below \$800,000 approved under E, M & P Panels (ii) Projects below \$600,000 approved under B & H Panels (see notes below)	<u>First instalment</u> 60% in the year of approval. <u>Second instalment</u> 40% subject to submission of annual/mid-term progress report and no major irregularities in project progress. Second instalment for projects with major irregularities identified in progress reports will be withheld. Payment will be made until PI proposes remedial action acceptable to the RGC.
37 months or above	Irrespective of grant size	<u>First instalment</u> In the year of approval. <u>Second instalment</u> Subject to satisfactory assessment of second annual progress report. The respective percentage of first and second instalments will be decided by the RGC.

Notes on Panel Codes

E: Engineering

B: Business Studies

M: Biology & Medicine

H: Humanities & Social Sciences

P: Physical Sciences

² For the Group Research Grant under the CRF exercise, the arrangements took effect from the 2014/15 funding cycle.

³ As originally approved by the RGC before project commencement.

Part III - Accounting Arrangement

Approved Scope

16. It is the institutions' responsibilities to ensure that the UGC grants are used appropriately and reasonably within the approved scope and timeframe. In particular, the expenditure for the items should be spent within the following respective scopes:

(A) One-line Vote

(Virement between approved budget items under one-line vote within the same project does not require RGC's approval. Any unspent balance should be returned to the RGC together with the Statement of Accounts within six months of the project termination/completion date.)

(a) Research Support Staff

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

(b) 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. Should an approved project be terminated for any reason, institutions should report any major items of research equipment (costing \$500,000 and over) to the RGC. The RGC reserves the right to redeploy any such major equipment acquired by the UGC grants for use by other institutions where appropriate or practicable.

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 UGC grants to purchase:

- (i) personal electronic devices such as cell phones, tablets, iPod, iPad, MP3 players, digital cameras/video recorders and PDAs; and
- (ii) standard office equipment such as personal computers, servers, laptop computers, printers, 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 specially approved by the RGC.

(c) Travel/Conference Grant

On request, a conference grant of up to \$20,000 per year is allowed to encourage the PC / PI / Co-PI / Co-I and other research personnel 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.

(B) Earmarked Items

(All earmarked items are not transferable. They should only be used to meet the expenses of the respective specified purposes. Any unspent balance should be returned to the RGC together with the Statement of Accounts within six months of the project termination/ completion date.)

(d) Relief Teacher

The salary for the relief teacher should not exceed the salary of Staff Grade 'G' (i.e. Lecturer (U)) of the institution concerned. Unless RGC's approval to employ a relief teacher with higher salary is granted, the exceeding part of salary should be topped up by the institution concerned.

(e) High-performance computing services

A ceiling of up to \$100,000 will be allowed for the subscription of high-performance computing services for each funded project.

(C) Outsourcing of Research Work Outside Hong Kong

17. Research grants awarded by the RGC should primarily be used in undertaking research work in Hong Kong by the PCs / PIs and their teams in order to train and groom research talents in Hong Kong. It will be legitimate for the PCs / PIs to subcontract out a small part of the research work (regardless of geographic locations) only if all the following conditions are fully met:

- (a) The proposed activity is a necessary and justified part of the research and has already been outlined in the approved proposal;
- (b) The PCs / PIs should have identified and possessed a high level of research expertise in their teams when they submit research applications to the RGC. The activity to be subcontracted out, for instance, data collection work, should not be the main intellectual focus of the research project;
- (c) The persons/organizations providing the subcontracting services should be at arm's length with the PCs / PIs or their serving institutions (for instance, employees, friends, relatives, subsidiary companies, etc. should be avoided) and the procurement should be done in accordance with the institutional procedures and guidelines; and
- (d) The PCs / PIs or their team members should be involved in monitoring the subcontracting services or the supervision of the subcontracting services.

18. Any subcontracting services or research work to be conducted outside Hong Kong that were not included in the approved proposal will require RGC's prior approval.

On Approval of New Projects

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

20. A project grant is, unless otherwise stated, a one-line vote without further division into sub-allocations. For "One-line Vote", virement between approved budget items within the same project does not require RGC's approval. If a PC / 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. Virement between projects are not allowed. For "Earmarked Items", the funding for the respective item is an earmarked sum out of the approved project grant. This earmarked amount is not transferable and should not be used to meet other items of expenses of the approved project. Any unspent balance of the project grant should be returned to the RGC.

21. The official start dates for newly approved projects are detailed in specific guidelines for individual schemes at Annexes B to G. Project grants must not be expended earlier than the project commencement date. Any deferral beyond the official start date will require the special prior approval from the RGC. If the deferral is approved, normally no temporary waiver of

eligibility requirements of the PC / PI (such as long-term leave) will be allowed thereafter. 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 and the institution should immediately return the grant to the RGC. PCs / 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.

22. To facilitate the management and the public access of all newly funded projects, the concerned PCs / PIs are required to submit essential data, including the revised project estimates, revised start / scheduled completion dates, PCs' / PIs' Chinese names, Chinese project titles, etc.

23. In case a project budget is reduced and the PC / PI accepts the grant, the concerned PC / PI is required to submit the revised budget and the revised objectives or work programme if deemed necessary for consideration and endorsement by the appropriate RGC committee / panel. Comments by the RGC on the revisions will be provided to the PC / PI through the institution as soon as practicable. In any event, a PC / PI should only accept a grant when he/she 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 30(d)).

On Termination / Completion of Projects

24. For cases where the PC / PI becomes ineligible for the grant (e.g. on prolonged leave / leaving Hong Kong / incapable of managing the project) prior to the completion of the project, the institutions should endeavour to identify a suitable Co-PI / Co-I who has been involved in the project since commencement or a suitable PC / PI to take over the role of PC / PI and recommend to the RGC for approval. Institutions should notify the RGC as soon as the PC / PI's departure / leave has been confirmed and the project account should be frozen at the same time.

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

- (a) Once the project account is frozen, both the PC / 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 for a reasonable but limited time (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). 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 PC / PI's request for change or temporary waiver of eligibility requirements and the date of termination takes retrospective effect from the commencement of PC / 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 and justifiable 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 to the RGC within six months of termination.
- (d) The RGC will consider the possible redeployment of the equipment acquired by UGC grants where necessary. Exceptional cases will be considered by the RGC on their individual merits.

26. 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. Under exceptional circumstances, institutions are given the discretion to allow charging certain expenses shortly after the project completion date to the unspent project account in justified circumstances. 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.

27. 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 PC / PI are required to provide an itemized report of such expenses, together with corresponding justification, in the relevant Statement of Accounts of the projects.

28. Upon termination / completion of a project, the institution is required to return the unspent balance together with a Statement of Accounts at **Appendix A(1) / A(2) as appropriate** to the UGC Secretariat within six months of project termination / completion date.

29. The RGC reserves the right to withdraw support and project grant for particular projects by giving appropriate advance notice.

Part IV – Monitoring Arrangement

Changes to Approved Projects

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

(a) General principles

Where the proposed changes are initiated by the PC / PI, the institution should consider them internally before forwarding its recommendation, with any additional information, to the RGC for consideration. Both the PCs / 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 PC / 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 PC / PI has become ineligible to hold the grant, the project account in question should be frozen immediately until the RGC's approval is granted.

(b) Change of PC / PI and Co-PI / Co-I

Change of PC / PI will not be approved within the first six months of an approved project save for very exceptional circumstances. Change of PC / PI from the seventh month may be considered by the RGC under the following circumstances:

- (i) Clear evidence can be provided by the PC / 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 PC / PI must be given (e.g. departure of PC / PI due to emigration, change of profession, ill health, etc.) and supported by the institution concerned; and

- (iii) A suitable Co-PI / Co-I who has been involved in the project since commencement or a suitable PC / PI is available and considered suitable by the RGC to take over the role of PC / PI. In this connection, the PC / PI and the nominee are required to complete the proforma at **Appendix B** and submit it to the UGC Secretariat via the institution. The institution should provide confirmation that the nominee meets all the RGC eligibility requirements as the PC / PI of the approved project. A nominee who is holding another UGC/RGC project (excluding HSSPFS award) with funding support for relief teacher should not take over another project with teaching relief support unless the completion report of his/her own project is submitted by the time the application for change of PC / PI is filed.

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

- (c) PCs / PIs proceeding on prolonged leave

PCs / PIs, who are on leave for a continuous or cumulative period exceeding 183 days within the project period but wish to continue as PCs / 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 PC / PI is able to continue to oversee the project during his / her leave; and
- (ii) An undertaking must be made by the PC / PI to confirm that he / she will return to the concerned institution upon expiry of his / her leave.

Failure to meet these requirements will result in termination of the concerned project. As a result, the institution is required to return the RGC grant spent during the leave of PC / PI.

(d) Revision of project objectives

Research projects are supported on the basis of, among other things, the objectives stated in the original proposals. The PCs / PIs should not alter the project objectives without seeking the prior approval of the RGC. In case revision of project objectives is warranted, the PCs / 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

Before the PC / PI takes up an appointment at another UGC-funded institution before the completion of a project, the current institution should reach a mutual consensus with the receiving institution on the transfer of the balance of the allocation for the project (normally together with the equipment where justified and appropriate) to the receiving institution. The current institution should then report any changes in the appointment status of the PCs / PIs as well as submit the request for transfer to the RGC for prior approval. 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 six months and less, the authority is with the institution. The PIs should apply to their institutions direct. From prudent project management angle, institutions are expected to exercise their judgement to ensure that only fully justifiable cases are approved, particularly during the first half of the project life. The RGC must be notified of the extension approved by institutions before the original completion date of the project.

(ii) For extension beyond six months, the RGC's approval is needed. The PIs are required to submit up-to-date progress reports together with their requests for project extension. As at the date of extension application, if the PIs have recently submitted progress reports ending within 3 months, the requirement for an up-to-date progress report is waived. The institutions should exercise their judgement and recommend the justifiable cases to the RGC for consideration.

(iii) Requests for further extension (i.e. after approvals have been given for a total of 12 months at (i) and (ii)) will not be

considered except under extraordinary circumstances (e.g. serious illness of PI).

Submission of Progress Reports

31. PCs / 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 detailed in specific guidelines for individual schemes at Annexes B to G.

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

Submission of Completion Reports

33. Completion reports should be submitted not later than 12 months after the approved completion date of the project.

34. PCs / PIs of projects approved in 2010/11 onwards are required to release the completion reports to the public through the RGC website. Completion reports containing information such as abstracts 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 PCs / PIs will be requested to give reasons for not providing any required information for public access in the new template. Arrangement of releasing completion reports to the public is applicable to all approved projects under funding schemes administered by the UGC and the RGC.

35. On public access of publications resulting from research funded by the RGC:

- (a) Upon acceptance of a paper for publication, the PC / PI should check whether the publisher already allows (i) full open access to the publisher's version, or (ii) the author's 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;
- (b) if both (a) (i) and (ii) are not allowed, the PC / PI should request the publisher to allow him/her to place either version (preferably the publisher's version, but failing that the final accepted version) in

his / her institutional repository for restricted access immediately upon publication or after an embargo period of up to 12 months if required by the publisher; and

- (c) subject to the publisher's agreement on (a) or (b) above, the PC / PI should deposit a copy of the publication in his/her institutional repository as early as possible but no later than six months after publication or the embargo period, if any.

Unsatisfactory, Barely Satisfactory and Overdue Reports

36. Timely submission of reports is important and reflects on the diligence and ability of the PC / 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 PC / PI's new funding application is considered. The overall grading of the PC / PI's 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 PC / PI may be debarred from applying for UGC 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 three years after passing the judgement.

37. The institution should freeze the project account if any progress report of an on-going project is overdue. In this regard, institution should undertake thorough and timely 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.

On-site Inspection

38. On-site inspection will be conducted on completed projects selected by random sampling. Selected project teams will be required to present their achievements in a symposium held at a designated institution, attended by a RGC Visit Panel and interested academics and students from all UGC-funded institutions. The RGC Visit Panel will also conduct laboratory tours, if appropriate, for projects of the institution holding the symposium. Institutions will hold the symposium on rotational basis.

Acknowledgement

39. 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. 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.

- End -

Research Funding Schemes Administered by the RGC

(A) Project Grants

- (1) Individual Research
 - (a) Early Career Scheme
 - (b) General Research Fund

- (2) Group Research
 - (a) Areas of Excellence Scheme*
 - (b) Collaborative Research Fund
 - (c) Theme-based Research Scheme*
 - (d) Joint Research
 - (i) National Natural Science Foundation of China (NSFC) / RGC Joint Research Scheme
 - (ii) The Economic & Social Research Council (ESRC) / RGC Joint Research Scheme (ceased in 2014)
 - (iii) The French National Research Agency (Agence Nationale de la Recherche, ANR)
 - (iv) Specialized Research Fund for the Doctoral Program of Higher Education (SRFDP) and Research Grants Council Earmarked Research Grants (RGC ERG) Joint Research Scheme (ceased in 2014)
 - (v) Scottish Funding Council (SFC) / RGC Joint Research Scheme

- (3) Public Policy Research (taken over by the Central Policy Unit since 2013/14 but the RGC continues to oversee the implementation of projects approved on or before 2012/13)
 - (a) Public Policy Research Funding Scheme
 - (b) Strategic Public Policy Research Funding Scheme

(B) Fellowship

- (1) Joint Research Schemes
 - (a) Fulbright - RGC Hong Kong Senior Research Scholar / Research Scholar Award Programmes
 - (b) Hong Kong-Scotland Partners in Post Doctoral Research

- (2) Humanities and Social Sciences Prestigious Fellowship Scheme

(C) Travel/ Conference Grants

- (1) Joint Research Schemes
 - (a) Germany / Hong Kong Joint Research Scheme
 - (b) *PROCORE* - France / Hong Kong Joint Research Scheme

- (2) Postgraduate Students Conference/Seminar Grants

All the above grants/funding schemes are funded by the REF **except** the following:

- 1. Areas of Excellence Scheme
- 2. Public Policy Research Funding Scheme
- 3. Strategic Public Policy Research Funding Scheme

* Separate guidelines are issued for the Areas of Excellence Scheme and Theme-based Research Scheme.

**Specific Guidelines Applicable to
Early Career Scheme (ECS) / General Research Fund (GRF)**

(A) Disbursement Arrangement

1. The first instalment will be made in September of the year of approval.
2. For ECS, the grant for educational activities, if any, will be fully released in September of the year of approval.

(B) Accounting Arrangement

3. All references to “Co-I” in Part II – Accounting Arrangements” are not applicable to ECS.

Approved Scope

Provision of Research Experience for Undergraduate Students (for GRF only)

4. This 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). 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.

On-costs (for GRF only)

5. For projects approved in the GRF exercises of 2009/10, 2010/11 and 2011/12, on-costs were given together with project grant to institutions. Where necessary to return funds to the UGC/RGC, the on-costs of the unspent balance of the project grant should be computed on a pro-rata basis and returned to the UGC, in addition to 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 as well (i.e. \$11,500 in total).

Clinical Research Fellowship Scheme (CRFS) (for GRF only)

6. 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 that 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.

7. 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 for inspection by the RGC.

8. 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.

Grant for Educational Activities (for ECS only)

9. The grant is earmarked for educational activities, which can be in any form that will promote teaching-research integration including the employment of undergraduate student helpers in the research project. This amount is not transferable and should not be used to meet other items of expenses of the approved project. Any unspent balance must be returned to the UGC Secretariat together with a statement of expenditure within 6 months of the project termination / completion date.

10. Monitoring of the educational activities is the joint responsibility of the PIs and the institutions. The progress of the educational activities such as the students' participation in the research projects, their performance, etc. must be included in the progress and completion reports of the projects.

Start Date of Newly Approved Projects

11. 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.

(C) Monitoring Arrangement

Changes to Approved Projects

Extension of Project Completion Date

12. For project extension beyond 12 months, the maximum allowable further extension is another six months, making the total extension 18 months. Where further extensions in this regard are given by the RGC, such periods will be counted towards the period allowed for preparation and submission of completion reports.

13. RGC's approval for project extension will not be given to projects awarded with longer-term grants except for cases with very sound justification.

Change of PI and Co-I

14. Change of PI and Co-I is not applicable to ECS.

Submission of Progress Reports

15. The reporting period and the date of submission of the report to the UGC Secretariat are given in the table below:

Project Duration	Report Type	Funding Exercise	Report End Date	Report Due Date
36-month projects	Mid-term progress report	2014/15 and before	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>
		2015/16 and after	15 months after the project start date	Three months after the report end date
Projects other than the above	Annual progress report	2014/15 and before	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>

Project Duration	Report Type	Funding Exercise	Report End Date	Report Due Date
		2015/16 and after	Every 12-month after the project start date	Three months after the report end date

Note: Subsequent project duration changes approved by the institution and the RGC will not change the report submission schedule.

Submission of Completion Reports (for ECS only)

16. If the PI has not supervised any research student (MPhil / PhD) within the project duration, the institution will be required to give an explanation in the completion report on the reason why supervision of students was missing.

Acknowledgement

17. 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] [Project No.], e.g. CityU 11400115)”.

**Specific Guidelines Applicable to
Humanities and Social Sciences Prestigious Fellowship Scheme (HSSPFS)**

(A) Disbursement Arrangement

1. One-off payment will be made in September of the year of approval.

(B) Accounting Arrangement

2. All references to “Co-I” in Part II – Accounting Arrangements” are not applicable to HSSPFS.

Approved Scope

3. HSSPFS only provides resources for the employment of relief teachers to relieve all or part of the awardees’ teaching and administrative duties; and the costs of travel, subsistence and dissemination of outputs.

Start Date of Newly Approved Projects

4. 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.
5. If the award holder is also successful in securing teaching relief for an activity of different scope in GRF in the same funding cycle, he/she can begin the fellowship after the expiration of teaching relief grants in GRF. The award holder is required to inform the RGC of the commencement date of the fellowship before 31 December of the same year.

6. The fellowship should run continuously for a maximum period of 12 months. Any extension or interruption or break of the 12-month period will require the prior approval from the RGC.

(C) Monitoring Arrangement

Changes to Approved Projects

Change of PI and Co-I

7. Change of PI and Co-I is not applicable to HSSPFS.

Revision of Work Plan / Dissemination Plan

8. The award holder should use the proforma at **Appendix C** if it is necessary to submit a revised work plan / dissemination plan for consideration by the Selection Committee of the HSSPFS.

Transfer of Fellowship Award to Another Institution

9. An undertaking must be made by the receiving institution to confirm that it will manage the grant and make arrangements to release the applicant from the duties as stated in the original application form. Likewise, an undertaking must be made by the award holder to confirm that he/she will commit the percentage of time to the Fellowship as stated in the original application form and that he/she will continue to serve in the receiving institution for at least one year upon the completion of the Fellowship.

Extension of Fellowship Completion Date

10. Normally, the RGC will only approve application for extension up to six months where sound justification is provided. In exceptional circumstances where further extensions are given by the RGC, such periods will be counted towards the period allowed for preparation and submission of completion reports.

Submission of Progress Reports

11. No progress report is required.

Acknowledgement

12. 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] [Project No.], e.g. CityU 31400115)”.

Specific Guidelines Applicable to Public Policy Research (PPR) and Strategic Public Policy Research Funding Schemes (SPPR)

(A) Accounting Arrangement

Approved Scope

On-costs

1. In addition to the project grant awarded, a 15% of the project grant had been allocated to the institutional management as on-costs. Institutions should use the on-costs for covering indirect costs arising from PPR and SPPR projects.

On Termination/Completion of Projects

2. 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 of the terminated project should also be submitted within 3 months of termination. On the portion of on-costs, pro-rata amount should be returned to the UGC Secretariat with the unspent balance of the project grant.

(B) Monitoring Arrangement

Changes to Approved Projects

Extension of Project Completion Date

3. For PPR projects, a maximum extension of 3 months may be granted in justifiable cases. 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.

4. For SPPR projects, 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.

Change of PI

5. 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.

Submission of Progress Reports

6. 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:

Scheme	Project Duration	Report Type	Report End Date	Report Due Date
PPR	Three-year projects	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	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>

Note: Subsequent project duration changes approved by the institution and the RGC do not change the report submission schedule.

Submission of Completion Reports

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

Acknowledgement

8. 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 Code] [Serial Number]-PPR / SPPR [Year], e.g. CityU 1001-PPR-12)” / CityU 1001-SPPR-12).

Specific Guidelines Applicable to Collaborative Research Fund (CRF)

(A) Disbursement Arrangement

1. Funding approved under the CRF Equipment Grant is released to the coordinating institutions by two instalments (50% before the start of the project and 50% by 11 months after the first instalment).

(B) Accounting Arrangement

On approval of new projects

2. Application for revision in objectives / work programme of newly funded projects should be made via the institution by completing **Appendix D**.

3. 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. Once installed, the equipment should be made available primarily for joint use by staff for the designated research purposes. In addition, to make full use of the equipment, institutions concerned should devise an appropriate arrangement for sharing the use of the equipment with other institutions, and in introducing an inter-changing scheme for that purpose. Monitoring Committees may be established by these institutions if they consider necessary.

Start Date of Newly Approved Projects

4. All 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.

(C) Monitoring Arrangement

Changes to Approved Projects

Change of PC

5. The PC plays a very important role in steering the course of a project in CRF 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.

Extension of project completion date

6. The RGC will only approve application for extension of CRF projects in exceptional circumstances where sound justification can be provided. As a matter of policy, the RGC normally does not approve an aggregate extension of more than six months for a project save in very exceptional circumstances. The PCs are required to submit up-to-date progress reports (Form CRF 7G) (ending date of progress reports should not be more than three months prior to submission of request for extension) together with their request for extension to the RGC for consideration. Normally, a request must be submitted at least six months before project completion.

Submission of Progress and Completion Reports

7. The RGC places heavy emphasis on the level of synergy built up among the collaborating research teams and the volume of outputs produced through collaborative efforts. To give a proper context for the RGC to assess the progress, details of the following aspects must be properly accounted for and fully documented in the mid-term / annual progress and completion reports:

- (a) the division of responsibilities among participating institutions;
- (b) the system through which UGC grants as well as other funds are channeled to the individual collaborative works of participating institutions;
- (c) training and involvement of research students; and
- (d) publications jointly produced by collaborating researchers

8. The RGC holds a CRF Symposium every year to monitor the progress of the on-going Group Research Projects. Each project team of the Group Research Projects has to report their progress at the Symposium in accordance with the arrangements promulgated by the UGC Secretariat.

9. PCs 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:

Project Duration	Report Type	Funding Exercise	Report End Date	Report Due Date
36-month projects	Mid-term progress report	2013/14 and before	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>

Project Duration	Report Type	Funding Exercise	Report End Date	Report Due Date
		2014/15 and after	The immediate <u>31 August</u> after the completion of the first 12-month of the project	Two months after the report end date, i.e. <u>31 October</u>
Projects other than the above	Annual progress report	Irrespective of funding exercise	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>

10. Two hardcopies and one softcopy for each mid-term / annual progress / completion report are required for submission to the RGC. For on-going projects that are to be presented in the annual CRF Symposium, the UGC Secretariat will separately inform the institutions the number of additional copies of mid-term / annual progress reports required to be submitted nearer the time.

Acknowledgement

11. 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] [Project No.], e.g. CityU C1001-14G)”.

Specific Guidelines Applicable to Joint Research Schemes (JRS)

(A) Accounting Arrangement

Approved Scope

1. The project period of both sides should have the same start and end date. Any adjustment to the start date requires prior approval from RGC and the partner agency.
2. Funding approved under the JRS can only be used by the Hong Kong PIs unless otherwise specified in the call circular and approved by the RGC.
3. For the ANR/RGC JRS, the budget item for attending the project review workshop in France, if any, and any earmarked items are not transferrable. It should only be used to meet the expenses of the specified purposes.

Fellowship

4. The fellowship is granted based on the length of stay approved by the RGC. It includes a one-off non-accountable grant for the passage and all necessary maintenance cost of the awardees.
5. Institutions are required to arrange for the return of the pro rata amount of the fellowship to the RGC in case the awardee concerned shortens or terminates the approved stay. The Statement of Accounts, which is submitted upon completion/ termination of the fellowship, should cover the entire duration of the fellowship.

Travel/Conference Grant

6. The travel 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 Hong Kong and the partner region. Expenditure on equipment, consumables, other project-related expenses and insurances are not covered. The conference grant is to cover travel, accommodation and subsistence costs of guest speakers from the partner region to Hong Kong, and the direct organising costs (except expenditure on meals). The travel/conference grants awarded can only be used in the approved funding year which normally runs from 1 January to 31 December.
7. 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 Hong Kong PIs cannot delegate the trip to his Co-Is nor his project team members.

8. For two-year grants, a Statement of Account should be submitted to the RGC within six months upon expiry of the respective funding period. The unspent balance of the first-year grants cannot be carried over to the second year and should be returned with a Statement of Account of the first year.

Start Date of Newly Approved Projects

9. The start dates specific to the JRS concerned are set out below:

Scheme	Start Date
NSFC / RGC JRS	1 January of the following year
ESRC / RGC JRS, ANR / RGC JRS	Within six months of the approval
SRFDP & RGC ERG JRS	As stated in the call circular (All projects funded under this scheme should normally last for three years)
SFC / RGC JRS	Within three months of the approval
Hong Kong – Scotland Partners in Post Doctoral Research	As stipulated in the letter of results announcement

On Termination / Completion of Projects

10. For the two-year travel grants funded in 2014/15 or before, in the event of termination of a project due to unsatisfactory progress, the institution is required to submit the concluding report and refund the unspent balance of the grant for the first year’s funding together with full amount of the second year's funding to the RGC within six months of project termination.

(B) Monitoring Arrangement

Changes to Approved Projects

11. All major changes such as revision of project objectives / work programmes, change of PIs / Co-Is require parallel submission of formal requests for prior approval. All project data / change requests should be submitted in hardcopy to the RGC via the Hong Kong PIs’ institutions.

Project Grant

12. For extension of project not exceeding six months in aggregate, applications must first be submitted by the partner PIs to the partner agencies. Subject to approval of the partner agencies, 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. For extension exceeding six months in aggregate, the PIs must apply with detailed and sound justification through their institutions to the RGC and the partner agencies in parallel at least six months before the approved project completion date. The Hong Kong PIs are required to submit up-to-date progress reports (ending date of report should not be more than three months prior to submission of request for extension) together with a copy of the latest progress reports submitted to the partner agencies by their partner PIs for consideration. Granting of request is subject to agreement of both the RGC and the partner agency.

Fellowship

13. For Hong Kong-Scotland Partners in Post Doctoral Research, the awardees should reside in Scotland continuously throughout the awards and seek the endorsement from their research supervisor for any visits abroad. Prior approval from the RGC/Scottish Government should be obtained for any leave / departure from Scotland throughout the stay.

Travel/Conference Grant

14. Any major changes to the approved conference grant (such as change of event date, change of speaker, etc.) require the prior approval of the RGC. The awardee should file the application via the institution for RGC's approval in good time and well in advance of the effective date of the proposed changes. If a request for change is not approved or the event cannot be organized, the entire grant / unspent balance should be returned together with a Statement of Accounts to the RGC within three months of the date of termination. Extension of funding period and postponement of completion date will not be allowed.

Submission of Progress Reports

15. Submission schedules specific to the JRS concerned are set out below:

Project Duration	Report Type	Report End Date	Report Due Date
36-month to 48-month projects	Mid-term progress report	18 or 24 months after the project start date [Note: <u>NSFC / RGC JRS</u> The immediate <u>31 December</u> on or after the completion of the first 24-month of the project. For project which starts after 1 January, the report end date should be the immediate 31 December after the completion of the first 12-month of the project.]	Two months after the report end date
Projects other than the above (except fellowship)	Annual progress report	<u>ESRC / RGC JRS</u> 30 June <u>Germany / HK JRS,</u> <u>PROCORE-France / HK JRS</u> 31 December of the respective funding period	<u>ESRC / RGC JRS</u> By 31 July <u>Germany / HK JRS,</u> <u>PROCORE-France /</u> <u>HK JRS</u> As stipulated in result announcement letter

Note: Subsequent project duration changes approved by the institution and the RGC will not change the report submission schedule.

16. For the NSFC/RGC JRS and the ANR/RGC JRS, the progress report should be submitted together with a copy of the latest progress report submitted to the NSFC / ANR by the partner Mainland / French PI.

17. For the ANR/RGC JRS, HK PIs should attend the project review workshops, if any, to present their progress and/or final reports.

Submission of Completion Reports

Project Grant

18. Hong Kong PIs should submit their completion reports, together with a copy of the completion report submitted to the partner agencies by the partner PIs.

19. For the Fulbright-RGC Hong Kong Senior Research/ Research Scholar Award Program, 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/termination of the fellowship.

20. For the Hong Kong-Scotland Partners in Post Doctoral Research, the evaluation report on completion of the research period should be submitted within two months of their return to home country, and the final report 12 months afterwards.

21. For conference/workshop grants under *PROCORE*-France/HK JRS, the Hong Kong PIs should submit a document enclosing the conference/workshop programme, a list of local and French participants, and a breakdown of expenditure to the RGC through the institution within six months of the conclusion of the event.

22. All reports (including progress/completion/concluding reports) must be signed and submitted in the report forms as prescribed by the RGC (both hardcopy and softcopy) via the Hong Kong PIs' institutions.

Acknowledgement

23. The following format of acknowledgment should be used (except for Fulbright-RGC Hong Kong Senior Research Scholar / Research Scholar Award Program and *PROCORE*-France/HK JRS):

“This work described in this paper (or the equipment / facility) was fully / substantially / partially supported by a grant from the ___(a)___ sponsored by the Research Grants Council of the Hong Kong Special Administrative Region, China and ___(b)___ (Project No. ___(c)___”.

(a)	(b)	(c)
NSFC/RGC Joint Research Scheme	National Natural Science Foundation of China	e.g. N_CUHK413/09
ESRC/RGC Joint Research Scheme	Economic & Social Research Council of the UK	Project No. assigned by the ESRC
ANR/RCC Joint Research Scheme	French National Research Agency	e.g. A-CUHK413/12
SRFDP & RGC ERG Joint Research Scheme	Specialized Research Fund for the Doctoral Program of Higher Education under the Ministry of Education of the People's Republic of China	e.g. M-CUHK413/12

(a)	(b)	(c)
SFC/RGC Joint Research Scheme	Scottish Funding Council	e.g. X-PolyU513/14
Hong Kong – Scotland Partners in Post Doctoral Research	Scottish Government	e.g. S-CityU103/13
Germany/Hong Kong Joint Research Scheme	German Academic Exchange Service	e.g. G-HKU702/15

24. For Fulbright-RGC Hong Kong Senior Research Scholar / Research Scholar Award Program, the following format of acknowledgment should be used:

“The work described in this paper was fully / substantially / partially supported by a grant from the Fulbright-RGC Hong Kong Senior Research Scholar / Research Scholar Award Program sponsored by the Research Grants Council of the Hong Kong Special Administrative Region, China in collaboration with the Consulate General of the United States in Hong Kong”.

25. For the *PROCORE*-France/HK JRS, the following format of acknowledgment should be used:

“The work / conference / workshop was supported by a grant from the Joint Research Scheme sponsored by the Research Grants Council of the Hong Kong Special Administrative Region, China and the Consulate General of France in Hong Kong (Reference No. F-[Institution's abbreviation][Institution code][serial number of 2 digits]/[year]”.

**Specific Guidelines Applicable to Postgraduate Students
Conference/Seminar Grants (PSCSG)**

(A) Disbursement Arrangement

1. One-off payment of grant will be made two months prior to the commencement of the event, subject to acceptance by the guest speaker(s) has been confirmed or as soon as possible after the grant has approved, whichever is earlier.

(B) Accounting Arrangement

2. The PSCSG will provide funding support up to a maximum of \$50,000 per application to cover the actual cost of the following items to be incurred by non-local guest speaker(s) invited for local inter-institutional conference / seminars:

- (i) business class return air passage by the most direct route; and
- (ii) hotel accommodation and subsistence allowance (tax and service charge inclusive) at the rate of \$1,800 per night of stay (subject to a ceiling of not more than seven nights of stay or \$12,600, whichever is lower). The period of provision of hotel accommodation and subsistence allowance will depend on the number of nights of stay actually required by the guest speaker to attend and speak at the supported event.

(C) Monitoring Arrangement

Changes to Approved Projects

3. Any major changes to the approved grant (such as change of event date, change of speaker, etc.) require the prior approval of the RGC. The awardee should file the application via the institution for RGC's approval in good time and well in advance of the effective date of the proposed changes. If a request for change is not approved or the event cannot be organized, the entire grant / unspent balance should be returned together with a Statement of Accounts to the RGC within three months of the date of termination.

Submission of Evaluation Report

4. The awardee should submit an evaluation report (in the prescribed form) to the RGC via the institution, covering the activities, benefits gained/expected, the number of attendees (postgraduate students) together with a statement of

expenditure, refund of any unspent balance and some photographs taken, within three months after the event.

Acknowledgement

5. The following format of acknowledgment should be used:

“The conference/seminar was supported by the Postgraduate Students Conference/Seminar Grant of the Research Grants Council of the Hong Kong Special Administrative Region, China.”

Statement of Accounts for RGC-funded/administered Projects

Institution:
 Project Ref:
 Name of PI/PC:
 Project Title:

<u>Source of Funding</u>	<u>HK(\$)</u>	<u>HK(\$)</u>	<u>Remarks</u>
RGC grant			
Project fund	XXX,XXX		(i)
‘Grant for Educational Activities’ (only if applicable)	XXX,XXX		(ii)
Institution	XXX,XXX		(iii)
Others	<u>XXX,XXX</u>		(iv)
Total Funding		<u>XXX,XXX</u>	(v) = (i)+(ii)+(iii)+(iv)
<u>Less Expenditure*</u>			
(a) Staff (SRA/RA/Postdoc/RPg)	(XXX,XXX)		(vi)
(b) Relief Teacher (only if applicable)	---		(vii)
(c) Equipment	(XXX,XXX)		(viii)
(d) High-performance Computing Services	(XXX,XXX)		(ix)
(e) Research Experience for Undergraduate Students (only if applicable)	(XXX,XXX)		(x)
(f) General Expenses	(XXX,XXX)		(xi)
(g) Conference	(XXX,XXX)		(xii)
(h) Expenses on Educational Activities (only if applicable)	_____		(xiii)
Total Expenditure		<u>(XXX,XXX)</u>	(xiv) = (vi)+(vii)+(viii)+(ix)+(x)+(xi)+(xii)+(xiii)
Unspent Balance		<u>(XXX,XXX)</u>	(xv) = (v) – (xiv)

Amount of RGC funding used (XXX,XXX) (xvi)

Amount of institution's (XXX,XXX)
funding used

Amount of other funding used (XXX,XXX)

Unspent balance to be returned to the RGC :

Project Fund	XXX,XXX	(xvii) = (i)+(ii) – (xvi)
15% On-costs (only if applicable)	<u>XXX,XXX</u>	(xviii) = (xvii) x 15%
Total	<u>XXX,XXX</u>	(xix)

**Statement of Accounts for Humanities and Social Sciences Prestigious Fellowship
Scheme (HSSPFS) awards**

Institution:
Project Ref:
Name of Awardee:
Project Title:

<u>Source of Funding</u>	<u>HK(\$)</u>	<u>HK(\$)</u>	<u>Remarks</u>
Fund awarded by RGC	XXX,XXX		(i)
<u>Less Expenditure</u>			
One-line Vote Items			
(a) Other Staff	(XXX,XXX)		(ii)
(b) Travel	(XXX,XXX)		(iii)
(c) Subsistence	(XXX,XXX)		(iv)
(d) Dissemination of outputs	(XXX,XXX)		(v)
Earmarked Item			
(e) Relief Teacher	(XXX,XXX)		(vi)
Total Expenditure		<u>(XXX,XXX)</u>	(vii) = (ii)+(iii)+(iv)+(v)+(vi)
Unspent Balance to be returned to the RGC		<u>(XXX,XXX)</u>	(viii) = (i) - (vii)

**Projects funded under General Research Fund / Public Policy Research /
Strategic Public Policy Research Funding Scheme
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: _____

Humanities and Social Sciences Prestigious Fellowship Scheme
Application for Revision in Work Plan / Dissemination Plan
of Newly Awarded Fellowship

Project Number :

Project Title :

Name of Award Holder :

(A) Original Work Plan / Dissemination Plan (please list in point form as appropriate)

(B) Revised Work Plan / Dissemination Plan (please highlight the parts where revision is made)

(C) Reason(s) for Revision(s) of Work Plan / Dissemination Plan

Remarks: Requests outside the above scope should be separately submitted to the RGC for consideration.

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