

RESEARCH GRANTS COUNCIL

Application for Allocation from the Early Career Scheme for 2019/20 Application Form (ECS1)

- Please read the Explanatory Notes ECS 2 (Aug 18) carefully before completing this form.
- To safeguard the interests of the researcher and the university, the awardee university 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 university is strongly encouraged to vet the grant applications using anti-plagiarism software before submitting them to the RGC.

PART I SUMMARY OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

1. Particulars of the Project

(a) (i) Name and Academic Affiliation of Principal Investigator (PI):

Name	Post	Unit/Department/University
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(ii) The applicant is within

- first year (entering into employment between 13 November 2017 to 16 April 2019)
- second year (entering into employment between 13 November 2016 to 12 November 2017)
- third year (entering into employment between 13 November 2015 to 12 November 2016)

of his/her full time academic job as an Assistant Professor or career equivalent involving teaching and research duties and the applicant is in substantiation track / tenure track position at the time of submission of the proposal and has not been granted ECS grants or awards.

The applicant confirms that he/she had not been funded under previous Early Career Scheme exercises.

(iii) Title of Project:

(iv) Nature of Application:

New Re-submission Continuation

(b) (i) Primary Field: _____ & Code _____

Secondary Field: _____ & Code _____

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

(iii) Project Duration: _____ Months*

* for longer term projects, please explain in your research plan in Part II 2(b)(i) why the proposed research cannot be completed within the normal span of 36 months.

(iv) Total Amount Requested:

(c) Abstract of Research comprehensible to a non-specialist **(either a maximum of 400 words in one A4 page of PDF document in standard RGC format or a maximum of 400 words for direct input in the text box):**

(d) Special funding template

- Employment of Relief Teacher under Humanities and Social Sciences Panel **(see Enclosure I) (only available for applications under Humanities and Social Sciences Panel)**
- Support for Academic Research related to Public Policy Developments **(see Enclosure II)**

PART II DETAILS OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

RESEARCH DETAILS1. Impact and objectives**(a maximum of 800 words in total for the long-term impact and project objectives)**

(a) Long-term impact

(b) Objectives

[Please list the objectives in point form]

- XXXXXXXX
- YYYYYYYY

2. Background of research, research plan and methodology**(a maximum of eight A4 pages in total in standard RGC format for items (a) and (b))**

(a) Background of research

(b) (i) Research plan and methodology

(ii) A one-page Gantt chart showing the research activities

(c) A maximum of two non-text pages of attached diagrams, photos, charts, and table etc, if any.

(d) Reference (a maximum of three pages for references is allowed for listing the publications cited in Section 1 – 2. All full references should be provided, including all authors of each reference.)

(e) Output dissemination plan

Name of journal, conference or other dissemination means	Target timing of dissemination

3. Re-submission of a proposal not supported previously

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

Yes No

If yes, please state the funding agency(ies) and the funding programme(s):

Reference No(s). [for UGC/RGC projects only]:

Project title(s) [if different from Section 1(a) of Part I above.]:

Date (month/year) of application:

Outcome:

- (b) If this application is the same as or similar to the one(s) submitted but not supported previously, what were the main concerns / suggestions of the reviewers then?
- (c) Please give a brief response to the points mentioned in Section 3(b) above, highlighting the major changes that have been incorporated in this application.

PROJECT FUNDING

4. Cost and justification

- (a) Estimated cost and resource implications:

[Detailed justification should be given in order to support the request for each item below] (a maximum of 500 words for each box)

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
	(\$)	(\$)	(\$)	(\$)	(\$)	(\$)

(A) One-line Vote Items

- (i) Supporting Staff Costs

[please read Section 4(a)(A)(i) of the Explanatory Notes ECS2 carefully]

Types

- Senior Research Assistant / Research Assistant / Post-doctoral Fellows / Research Postgraduate Students
- Others

Monthly salary x Nos. x Months

\$

Justification :

- (ii) Equipment Expenses

[please itemize and provide quotations for each item costing over \$200,000]

\$

Justification :

- (iii) Outsourcing Expenses of Research Work Outside Hong Kong

[please itemize your cost estimation with justification and provide quotations for work costing over \$200,000; and provide detailed justification of sample sizes and costs for surveys conducted outside Hong Kong.]

\$

Justification :

(iv) General Expenses

\$

[please itemize and provide quotations for services/purchase costing over \$200,000; and provide detailed justification of sample sizes and costs for surveys conducted in Hong Kong.]

Justification :

Quotation Provided: Yes No

(v) Conference Expenses

\$

Justification :

Sub-total for (A) (One-line Vote Items):

\$

(B) Earmarked Items

(vi) Costs for Employment of Relief Teacher

[see Enclosure I for relief support under Humanities and Social Sciences Panel]

Rank of relief teacher:

\$

No. of course to be relieved:

Per course rate of relief teacher:

Period to be relieved: _____ months

Justification :

Current Average Teaching Load: Total _____ courses per academic year

[please report UGC-funded programmes only]

(vii) High-performance Computing Services

\$

Justification :

(viii) Research-related Software Licence /Dataset

[please itemize and provide quotations for each item]

\$

Justification :

Sub-total for (B) (Earmarked Items):

\$

(ix) **Total cost of the proposal (A) + (B)**

\$

(C) Deduction Items

Less :

(x) Other research funds secured from other sources

\$ **Sub-total for (C):**\$ (xi) **Amount requested in this application: (A) + (B) – (C)**\$

(D) Academic Research related to Public Policy Developments

(xii) Percentage of the total cost of the proposal related to public policy developments ((A) + (B))

 %**[see Enclosure II for Support for Academic Research relating to Public Policy Developments]**

(b) Declaration on the Equipment Procurement:

 (i) No procurement of equipment is required

OR

 (ii) I declare that the equipment indicated in Section 4(a)(A)(ii) above is not available in the university

OR

 (iii) I declare that all or some of the equipment (please provide details in the following text box) indicated in Section 4(a)(A)(ii) above is available in the university but cannot be used by me in view of the following reasons (a maximum of 500 words)

Reasons: (a maximum of 500 words)

(c) Declaration on employment of relief teacher

 (i) No relief teacher is required

OR

 (ii) I declare that I currently do not hold any grant for employment of relief teacher of any on-going project under UGC/RGC funding schemes

OR

 (iii) I declare that I hold grant for employment of relief teacher of the following on-going project(s) under UGC/RGC funding schemes (excluding Humanities and Social Sciences Prestigious Fellowship Scheme (HSSPFS)) and undertake to submit the corresponding completion report(s) by 15 April 2019

Project No.:

Project Title:

Project Commencement Date:

Project Completion Date:

(d) Declaration on high-performance computing services

- (i) No procurement of high-performance computing services is required
OR
- (ii) I declare that the high-performance computing services indicated in Section 4(a)(B)(vii) above is not available in the university
OR
- (iii) I declare that all or some of the high-performance computing services (please provide details in the following text box) indicated in Section 4(a)(B)(vii) above is available in the university but cannot be used by me in view of the following reasons (a maximum of 500 words)

Reasons : (a maximum of 500 words)

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

- (i) No procurement of research-related software licence / dataset is required
OR
- (ii) I declare that the research-related software licence / dataset indicated in Section 4(a)(B)(viii) above is not available in the university
OR
- (iii) I declare that all or some of the research-related software licence / dataset (please provide details in the following text box) indicated in Section 4(a)(B)(viii) above is available in the university but cannot be used by me in view of the following reasons (a maximum of 500 words)

Reasons : (a maximum of 500 words)

5. Existing facilities and major equipment available for this research proposal:
(a maximum of 400 words)

6. Funds secured or to be secured

- (a) Other research funds already secured for this research proposal:
[This amount will be deducted from the total cost of the project in Section 4 of Part II above.]

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

<u>Source</u>	<u>Amount</u> (<u>\$</u>)
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7. Particulars of PI

(a) Investigator information:

Name and Academic Affiliation of Applicant:

Name	Post	Unit/Department/ University	ORCID iD	Current Member of UGC / RGC / Panel / Committee as at application deadline (Yes or No)	Name of UGC / RGC / Panel / Committee
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PI: with title

(b) Curriculum vitae (CV) of the Applicant.

[Please attach a maximum of two **A4 pages** in standard RGC format for attaching PDF document or a maximum of 800 words for direct input in the text box) in the following format.]

- (i) Name:
- (ii) Academic qualifications:
- (iii) Previous academic positions held (with dates):
- (iv) Present academic position:
- (v) Previous relevant research work:
- (vi) Publication records [Please refer to ECS 2 Part II Section 7 for the format required by the RGC]:
- (vii) Others (please specify):

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

[Indicate the role and the specific task(s) the PI and each Collaborator, if any, is responsible for.]

(d) Number of hours per week to be spent by the PI in the proposal:

DECLARATION OF RELATED PROPOSALS & GRANT RECORD

[Please refer to ECS2 for information required and implications for non-disclosure of related research work]

[If you have difficulty in making the declaration, please explain.] Please add a new table for each project/proposal.

8. Grant Record of Principal Investigator

Details of research work undertaken and proposals submitted by the PI (in a PI/PC or Co-I/Co-PI capacity) including:

- (i) completed research work funded from all sources (irrespective of whether from UGC/RGC) in the past five years;
- (ii) on-going research work funded from all sources (irrespective of whether from UGC/RGC);
- (iii) proposals pending funding approval (irrespective of whether submitted to UGC/RGC); and

Details

(1) Project/Proposal Ref. No. (if any)	
(2) Project Title	
(3) Project Objectives	
(4) Status	Completed / On-going / Pending
(5) Capacity	PI / PC / Co-I / Co-PI
(6) Funding Source(s) and Amount(\$)	
(7) Start Date and (estimated) Completion Date (if applicable)	
(8) Number of Hours Per Week Spent by the PI in Each On-going Project*	
(9) Related to the current application	Related / NA

If yes, please provide the details in table under (iv) below

- (iv) any related research work that is being / has been conducted in relation to the proposal (irrespective of whether from UGC / RGC and not limited to the past five years), including but not limited to data collection, preliminary research, working papers, publications (such as journal papers, conference papers and books, etc.), presentations, media interviews and other submitted proposals, etc. Please provide the details of the related research work (such as the title of the projects and / or papers / publications, or a brief description of the preliminary research work, etc.) whether or not such work was part of a funded project; and provide clarifications that distinguish that related research work from the work requested to be funded through this proposal. **Any researcher who fails to disclose any related research work that is being / has been conducted in relation to the proposal will be subject to**

disciplinary action.Details

Please provide the details on whether or not such related research work was part of a funded project; and provide clarifications that distinguish that related research work from the work required to be funded through this proposal (a maximum of 400 words)

* The PI is not required to report on the time spent in the capacity of Co-I in GRF / Joint Research Schemes projects.

ANCILLARY INFORMATION9. Research Ethics/Safety Approval and Access to Government/ Official/ Private Data and Records:

[Please refer to ECS2 Part II Section 9 for the responsibilities and implications]

(a) Research Ethics/Safety Approval

- (i) I confirm that the research proposal involves / does not involve human subjects.
- (ii) Please tick '✓' in the appropriate boxes to confirm if approval for the respective ethics and/or safety issues is required and has been / is being obtained from the PI's university. PIs are encouraged to seek necessary approval (except for human research ethics (clinical)) before application deadline as far as possible.

	Approval not required	Approval being sought	Approval obtained
(1) Animal research ethics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(2) Biological safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(3) Ionizing radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(4) Non-ionizing radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(5) Chemical Safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(6) Human research ethics (non-clinical)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Approval not required	Approval being sought	Approval obtained
(7) Human research ethics (clinical)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			Approval will be sought if funded

- (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 "N.A.".

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

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

No

Yes

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

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

<u>List of agency(ies)</u>	<u>Approval not required</u>	<u>Approval being sought</u>	<u>Approval obtained</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"/>

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

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

I undertake that upon acceptance of a paper for publication,

- (i) I will check whether the publisher already allows (A) full open access to the publisher's version, or (B) my depositing a copy of the paper (either the publisher's version or the final accepted manuscript after peer-review) in the university's repository for open access;

- (ii) if both (i) (A) and (B) are not allowed, I will request the publisher to allow me to place either version in my university's 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) or (ii) above, I will deposit a copy of the publication in my university's repository as early as possible but no later than six months after publication or the embargo period, if any.

11. Education Plan, Technology Transfer Plan and Supporting Documents

Appendix 1: Education Plan (up to one A4 page)

[Note: To ensure fairness in the independent assessment process, PIs should not disclose his/her identity or university in the Education Plan.]

Upload

Appendix 2: Technology Transfer Plan (Optional, up to one A4 page)

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

Upload

Appendix 3: Other supporting documents

Upload

PART III UNIVERSITY ENDORSEMENT AND DECLARATION OF RESEARCH ETHICS/SAFETY

(To be completed by the appropriate authority of the university. The university should confirm that it has evaluated and given support to the application before submission to the RGC.)

UNIVERSITY'S ENDORSEMENT

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

1. **Staff Eligibility Requirement for ECS**

I confirm that:

- (a) the application has been evaluated and endorsed by the university for submission to the RGC;
- (b) the PI meets fully the stipulated staff eligibility requirement and is not debarred from applying for ECS grant;

[where the PI is newly appointed, the university has formally entered into a contract of service with him/her on or before the submission deadline of this funding exercise and the contract requires him/her to report duty on or before 16 April 2019]

- (c) the PI is/will be employed in substantiation track / tenure track position;
- (d) the applicant's statement at Part I Section 1 (a)(ii) is true;
- (e) the applicant's declared teaching load at Part II Section 4(a)(B)(vi) has been verified (only for the case where the applicant is seeking funding support for relief teacher);
- (f) the applicant will have the number of hours per week as declared in Part II Section 7(d) to supervise the proposed project without prejudice to his / her existing commitment in other research work, teaching and administrative duties;
- (g) the university will inform the RGC as soon as the PI ceases to be eligible to apply, receive or hold a ECS grant, and will withdraw the application / terminate the project if it is already funded and commenced;
- (h) the university understands that the ECS grant, if given, will be withdrawn if the project does not start within one year of the funding award. The university should report to the RGC as soon as possible when a PI proceeds on no-pay leave/professional leave for a continuous or cumulative period exceeding 183 days within the project period;
- (i) **[for PI requesting Employment of Relief Teacher at Part II Section 4(a)(B)(vi) only]**
 - the PI does not currently hold any grant for employment of relief teacher of any on-going project under UGC/RGC funding schemes

- the PI holds the grant for employment of relief teacher of the on-going project(s) at Part I Section 1(d) (excluding HSSPFS) and I shall ensure the PI to submit the corresponding completion report(s) by 15 April 2019

UNIVERSITY'S COMMITMENTS

2. Support to PI and Students

I confirm that:

- (a) the applicant will be permitted to be the primary supervisor of research student(s) (MPhil/PhD) during the project period.
- (b) adequate supervision, research facilities and training provisions
- will
- will not
- be in place to meet the need of RPg student(s) so employed under the research grant if this application is supported by the RGC.
- No RPg student will be trained in this proposed project
- Not applicable
- (c) the research project under this ECS application
- is
- is not
- in line with the role of the university.
- (d) no outsourcing outside Hong Kong is required
- the PI's justification at Part II Section 4(a)(A)(iii) is reasonable and I support the PI's application for outsourcing the stated work outside Hong Kong
- (e) no equipment is required
- the PI's declaration and reasons at Part II Section 4(b) are true and correct and I support the PI's request for this procurement of equipment
- (f) no high-performance computing services is required
- the PI's declaration and reasons at Part II Section 4(d) are true and correct and I support the PI's request for this subscription of high-performance computing resources
- (g) no research-related software licence / dataset is required

- the PI's declaration and reasons at Part II Section 4(e) are true and correct and I support the PI's request for this procurement of the research-related software licence / dataset
- (h) this application does not include requests for purchasing normal academic equipment, computer, consumables, postage, fax, stationery, overseas telephone charges, and standard software licence / dataset known to be available or reasonably expected to be provided in the universities concerned.
- (i) this application
- has
- has not (Please provide reasons for not scanning by anti-plagiarism software) been scanned by anti-plagiarism software.
3. Research Ethics / Safety Approval and Access to Government/ Official/ Private Data and Records
(Please tick '√' as appropriate in the boxes)

(a) Research Ethics / Safety Approval

I have examined the research proposal and confirm that:

- (i) the research proposal involves human subjects
- and human research ethics (non-clinical) approval not required / exemption has been obtained.
- approval is being sought.
- exemption is being sought.
- approval has been obtained.

- and human research ethics (clinical) approval not required.
- approval is being sought.
- approval has been obtained.
- approval will be sought if funded.

or

- the research proposal does not involve human subjects.

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

	<u>Approval not required</u>	<u>Approval being sought</u>	<u>Approval obtained</u>
(i) Animal research ethics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Biological safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Ionizing radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv) Non-ionizing radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v) 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>List of agency(ies)</u>	<u>Approval not required</u>	<u>Approval being sought</u>	<u>Approval obtained</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, except human research ethics (clinical), where such approval is required but has not yet been obtained, the university will ensure that it will be obtained without delay. The university understands that if no confirmation of such approval is provided to the RGC by 15 April 2019, the RGC will regard this ECS application as being withdrawn and will stop further processing it.