

**RESEARCH GRANTS COUNCIL**

**General Research Fund**  
**Application Form for 2023/24 (GRF1)**  
**(Please submit your application through RGC Electronic System)**

Please ensure you read the Scheme Overview and Guidance Notes (Guidance Notes) carefully before completing this form. Section 2 of the Guidance Notes mirrors the application form structure, so will provide you with step-by-step advice on completion.

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 should vet the grant applications using anti-plagiarism software before submitting them to the RGC.

**PART I: SUMMARY OF THE APPLICATION****1. Particulars of the Project**

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

Name	Post	Unit / Department / University
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(b) Is the PI a new appointee within 2 years of full time paid appointment to his / her first substantive position as an academic staff in a university at the time of submission of the proposal? Yes / No

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

(d) Title of Project:

(e) Project Duration: \_\_\_\_ Months\*

\* for project with duration exceeding 36 months, please explain in Part II (4) why the proposed research cannot be completed within the normal span of 36 months.

(f) Total Amount Requested:

\$

(g) Nature of Application:

New

Re-submission

Continuation

(h) (i) If this is a resubmission or largely similar to a proposal that has been submitted to but not supported by the UGC / RGC or another funding agency, please give details here:

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

Name of funding agency(ies) and the funding programme(s):

Project title(s):

Date (month / year) of application:

Outcome:

- (ii) 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 and how have you changed the project in response? **Maximum of 500 words**

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## 2. Research Areas and Project Team

(a)

Primary Field: \_\_\_\_\_ & Code \_\_\_\_\_

Secondary Field: \_\_\_\_\_ & Code \_\_\_\_\_

(b) Project Keywords (maximum of 5):

(c) Project Abstract (comprehensible to a non-specialist)

(d) PI and Co-Is

(i) Investigator(s) Information

Please list the details for the PIs and Co-Is involved in the application in the table (add additional rows if necessary)

Role in the project (e.g. PI, Co-I, etc.)	Name with Title	Post	Unit / Department and University	ORCID iD	Current Member of UGC / RGC Panel / Committee (as at application deadline)? (Yes or No)	Name of UGC / RGC Panel / Committee

(ii) CV(s) and Publication List for PI and all Co-Is

(iii) Project Team and Plan for Collaboration

(e) Does this application involve special application? If yes, please tick here and attach the relevant additional document under Appendix 4.

- Clinical Research Fellowship Scheme (please attach the relevant additional document under Appendix 4 and this option is only available for applications under Biology and Medicine Panel)
- Support for Individual Research (research time) (only available for applications under Humanities and Social Sciences Panel and Business Studies Panel)

**PART II: DETAILS OF THE RESEARCH PROPOSAL****3. Project Objectives****4. Research Project Statement****5. Pathways to Impact Statement****6. References****7. Output Dissemination Plan**

Target timing of dissemination (quarter / year)	Output type (Journal / Conference / Other)	Name of target journal, conference or other dissemination means

**8. Declaration of Time Commitments, Grant Record and Related Research Work of Investigator(s)**

(A) Declaration of time commitments:

- (i) Number of on-going individual research projects<sup>1</sup> currently held by the PI in any capacity (e.g. PI, Co-I, Collaborator, etc.):
- (ii) Number of on-going collaborative research projects<sup>1</sup> currently held by the PI in any capacity (e.g. PC, Co-PI, Co-I, Collaborator, etc.):

If the number declared in (i) exceeds three **or** the number declared in (ii) exceeds two, please provide the following information:

- (iii) Overall amount of time spent on research by the PI in percentage terms:
- (iv) Justifications on how the PI would be able to take up this additional research project if funded while maintaining the research quality:

(B) Please complete the table below covering:

- (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);

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<sup>1</sup> Research projects funded from all sources (irrespective of whether from UGC/RGC) should be included, except those funded under the joint research schemes and the fellowship schemes administered by the RGC. Projects for which completion reports have yet to be submitted by the application deadline of the current GRF exercise should also be counted.

- (iii) proposals pending funding approval (irrespective of whether submitted to UGC / RGC)

Complete the first table for the PI then any Co-Is should be detailed in the second table listed in the order listed above.

*Table 1 – the PI*

Project / proposal reference number (if any)	Project Title	Project objectives	Status (Completed / On-going / Pending)	Capacity (PI / PC / Co-I / Co-PI)	Start date	End date	Funding Source and Amount (\$)	No of hours per week spent (for on-going projects) *	Related to current project? Y/N#

\* Please provide the most updated information.

# If the declared work is related to the current project, please state what distinguishes this project from that work.

*Table 2 – Co-I(s)*

Project / proposal reference number (if any)	Project Title	Status (Completed / On-going / Pending)	Name of Co-I and Capacity (PI / PC / Co-I / Co-PI)	Start date	End date	Funding Source and Amount (\$)	Related to current project? Y/N#

# If the declared work is related to the current project, please state what distinguishes this project from that work.

If the PI / Co-I(s) are aware of any other work related to this research project outside the 5 year period covered above and irrespective of whether it was/is funded by the UGC or the RGC, please state what distinguishes this project from that work.

**PART III: PROJECT FUNDING and RESOURCES****9. Cost and Justification**

(a) Estimated cost and resource implications:

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

**(A) One-line Vote Items****(i) Supporting Staff Costs**Types

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

Monthly salary x Nos. x Months

\$

Justification:

**(ii) Equipment Expenses**

\$

Justification:

Quotation Provided: Yes  No **(iii) Outsourcing Expenses of Research Work Outside Hong Kong**

\$

Justification:

Quotation Provided: Yes  No **(iv) General Expenses**

\$

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**

Rank of relief teacher:

No. of courses to be relieved: 

Per course rate of relief teacher:

Period to be relieved: \_\_\_\_\_ months

Justification:

PI's Current Average Teaching Load: Total \_\_\_\_\_ courses per academic year [UGC-funded programmes only]

**(vii) Expenses of Research Experience for Undergraduate Students**

Justification:

**(viii) High-performance Computing Services Expenses**

Justification:

Quotation Provided: Yes  No **(ix) Research-related Software Licence / Dataset**

[please itemize and provide quotations for each item]

Justification :

**Sub-total for (B) (Earmarked Items):****(x) Total cost of the project (A) + (B)****(C) Deduction Items**

Less:

**(xi) University's funding for provision of research experience for undergraduate student**

\$

**(xii) Other research funds secured from other sources**

\$

**Sub-total for (C) (Deduction Items):**

\$

**(xiii) Amount requested in this application: (A) + (B) – (C)**

\$

(D) Academic Research related to Public Policy Developments

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

## (b) Declaration on the equipment procurement

(i) No procurement of equipment is required

OR

(ii) I declare that the equipment indicated in Section 9(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 9(a)(A)(ii) above is available in the university but cannot be used by this project for the following 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))

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 9(a)(B)(viii) 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 9(a)(B)(viii) above is available in the university but cannot be used by this project 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 9(a)(B)(ix) 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 9(a)(B)(ix) above is available in the university but cannot be used by this project for the following reasons (a maximum of 500 words)

**10. Existing Facilities and Major Equipment available for this Research Project**

(a maximum of 400 words)

**11. 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 Part III Section 9 above.]

Source

Amount (\$)

(b) Other research funds to be or are being sought for this research proposal:

[If funds under this item are secured, the amount of the GRF to be awarded may be reduced.]

Source

Amount (\$)

## **PART IV: ETHICS AND OTHER APPROVALS**

### **12. Research Ethics / Safety Approval**

- (i) I confirm that the research proposal  involves /  does not involve human subjects.
- (ii) I confirm that the research proposal  involves /  does not involve the study of artefacts.
- (iii) 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 deadlines.

	<u>Approval not required</u>	<u>Approval being sought</u>	<u>Approval obtained</u>
(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"/>
(7) Artefacts research ethics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	<u>Approval not required</u>	<u>Approval being sought</u>	<u>Approval obtained</u>	<u>Approval will be sought if funded</u>
(8) Human research ethics (clinical)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- (iv) 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.".

### **13. Access to Government / Official / Private Data and Records**

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

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"/>

#### 14. Project Data

- (i) 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.

- (ii) 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.

**PART V: ADDITIONAL ATTACHMENTS**

Appendix 1: Education Plan

Upload

Appendix 2: Technology Transfer Plan (Optional)

Upload

Appendix 3: Letters of Collaboration

Upload

Appendix 4: Other Supporting Documents, including Clinical Fellowship Form if relevant to this application or ethics and safety approval letters.

Upload

**PART VI: UNDERTAKING OF THE PI**

By submitting the application, I undertake that the research activity(ies) / expenditure(s) of the project if funded will be carefully monitored for its / their compliance with applicable laws, health and safety guidelines and ethical standards.

**PART VII: UNIVERSITY'S ENDORSEMENT AND DECLARATION OF RESEARCH ETHICS / SAFETY APPROVAL**

(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 GRF**

I confirm that:

- (a) the application has been evaluated and endorsed by the university for submission to the RGC;
- (b) the PI, in the staff grade \_\_\_\_\_, meets fully the stipulated staff eligibility requirement for and is not debarred from applying for GRF 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 for duty on or before 16 April 2023.]

the PI is / will be primarily engaged in and spending at least 80% of time in degree or higher degree work at the university; **or**

the PI is / will be seconded to work full-time or part-time at the following Innovation and Technology (I&T) clusters at the Hong Kong Science Park with effect from \_\_\_\_\_ (mm/yyyy)

Health@InnoHK

AIR@InnoHK; **or**

the PI is / will be seconded to conduct research in a university or a research institute / body / agency in the Mainland / overseas jurisdiction with effect from \_\_\_\_\_ (mm/yyyy)

[Name of university / research institute / body / agency: \_\_\_\_\_  
Region / Country: \_\_\_\_\_]

- (c)  the PI is / will be employed on permanent term
- the PI is / will be employed on fixed term contract

[If the PI is / will be employed on a fixed term contract, the PI has to be still eligible for a GRF grant at the time of the funding award being made in June in the following year as well as for at least the first year of the planned project duration.]

- (d)  the PI is / will be a visiting scholar
- the PI is NOT a visiting scholar

[If the PI is a visiting scholar, he / she has to be employed in the university on a full-time basis covering at least one year or the expected project duration whichever is the longer.]

- (e) the applicant's declared teaching load at Part III Section 9(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 I Section 1(c) 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 GRF grant, and will withdraw the application; or recommend to the RGC for approval of a suitable new PI, if any, to take over the funded project once it is funded and commenced. The university understands that failure in identifying a suitable new PI or obtaining approval from the RGC for change of PI will result in termination of the funded project;
- (h) the university understands that the GRF grant, if given, will be withdrawn if the project does not start within one year of the announcement of funding result. 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 III Section 9(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 III Section 9(c) (excluding HSSPFS) and I shall ensure the PI to submit the corresponding completion report(s) by 15 April 2023

**Longer-term research grant (only for research proposal the duration of which lasts for more than 36 months)**

- (j) the PI

- meets
- does not meet

the eligibility requirement for longer-term research grant as set out in the Guidance Notes (GRF2);

**Individual research (only for the case where the PI has selected this item at Part I Section 2(e))**

(k) the PI

- meets
- does not meet

the eligibility requirement for funding support of individual research as set out in the Guidance Notes (GRF2);

(l) the university

- will
- will not

facilitate arrangements for time-off for applications for individual research;

**UNIVERSITY'S COMMITMENTS**

**2. Support to PI and Students**

I confirm that:

(a) the university is committed to providing a monthly allowance of \$1,250 to the undergraduate student helper up to a maximum period of ten months if this proposal is funded under the provision of research experience for Undergraduate Student (**only for the case where the PI has selected this item at Part III Section 9(a)(C)(xi)**);

(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 GRF 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 III Section 9(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 III Section 9(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 III Section 9(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 III Section 9(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 been scanned by anti-plagiarism software. (Please provide reasons for not scanning 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 research proposal involves the study of artefacts and
- approval not required
- approval is being sought.
- approval has been obtained.

**or**

the research proposal does not involve the study of artefacts.

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

	<u>Approval not required</u>	<u>Approval being sought</u>	<u>Approval obtained</u>
(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"/>

(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 14 April 2023, the RGC will regard this GRF application as being withdrawn and will stop further processing it.