RGC Ref. No.:

(to be assigned and filled in by institution)

RESEARCH GRANTS COUNCIL
COMPETITIVE RESEARCH FUNDING SCHEMES FOR
THE LOCAL SELF-FINANCING DEGREE SECTOR 2021/2022

INSTITUTIONAL DEVELOPMENT SCHEME (IDS)
COLLABORATIVE RESEARCH GRANT
Application Form (IDS(C)1)

Important Notes to the Applicant

1. *Please read the Guidance Notes IDS(C)2 carefully before completing this form and make reference to the Guidelines on Disbursement, Accounting and Monitoring Arrangements for Competitive Research Funding Schemes for the Local Self-financing Degree Sector (SF-DAMA).*

2. *To safeguard the interest of the researcher and the institution, the awardee institution bears the primary responsibility for prevention, detection and investigation of research misconduct, including but not limited to misuse of funds, data falsification, plagiarism and double-dipping. The institution is required to check the proposal with anti-plagiarism software before submitting the application to the Research Grants Council (RGC).*

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

☐ *This is to confirm that the applicant has read and fully understands the requirements as set out in this Application Form, the Guidance Notes (IDS(C)2 (Nov 2020)), the Call for Proposals and the SF-DAMA.*

PART I   SUMMARY OF THE RESEARCH PROPOSAL
[To be completed by the applicant]

1. **Particulars of the Project Coordinator (PC)**
   (Please use the name as shown in the Hong Kong Identity Card or passport.)

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

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

   (Chinese): _____

   Post: _____

   Unit / Department: _____

   Institution: _____

   Contact Tel. No.: _____ Email: _____

   Personal Website (if any): _____

2. **Particulars of Project Team**

(a) Information on the PC, each Co-Principal Investigator (Co-PI) and Co-Investigator (Co-I) of the proposed project:

	Title / Surname (in capital letters) / Other Names	Post	Unit / Department / Institution	Open Researcher and Contributor ID Identifier (ORCID iD)	Average Number of Hours Per Week To Be Spent on Project
PC					
Co-PI					
Co-I					

Please add rows for additional entries.

[Please tick '✓' the appropriate box.]

(b) Are the PC and Co-PI(s)* (except Co-PI(s) from the University Grants Council (UGC)-funded university(ies)), full time academic staff engaged by one of the local self-financing degree-awarding institutions as listed in the Guidance Notes (IDS(C)2), who

    (i) spend at least 80% of time on locally-accredited local degree or higher degree work[1], and

    (ii) have at least a one-year renewable contract with the respective institution at the time of funding award being made?

Yes ☐   No ☐

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[1] A PC / Co-PI who is / will be seconded to conduct research in a university or a research institute / body / agency in the Mainland / overseas jurisdiction while retaining his / her full-time appointment and position with his / her parent institution and is still on the payroll of the parent institution is eligible to apply for the IDS Collaborative Research Grant.

(c) (i) Is the PC or Co-PI* (s) / will the PC or Co-PI* (s) be seconded to conduct research in a university or a research institute / body / agency in the Mainland / overseas jurisdiction?

☐ Yes (Please specify:

Name of PC / Co-PI: _____

Name of university / research institute / body / agency:

_____

Region / Country: _____

With effect from: _____)

☐ No

(ii) If yes to (c)(i) above, is the PC retaining his / her full-time appointment and position with his / her parent institution and is still on the payroll of the parent institution during the secondment?

Yes ☐   No ☐

* Each Co-PI from the local self-financing degree-awarding institution and his / her institution is required to complete the declaration form at **Annex** and the PC should submit the form to the Secretariat by 25 June 2021.

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

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

☐ No

(d) <u>Curriculum Vitae (CV) of Applicant(s)</u>
[PC, each Co-PI and Co-I should submit a CV <u>in chronological order</u>, and each CV should be <u>two A4 pages</u> maximum in standard RGC format.   All the dates given should be in 'DD/MM/YYYY' format.]

   (i)   Name

   (ii)   Academic qualifications (with dates and name of awarding universities)

   (iii)   Previous academic positions held (with dates)

   (iv)   Present academic position(s) (with date(s))

   (v)   Previous relevant research work

   (vi)   Publication records

         ‣ Five most representative publications in recent five years

         ‣ Five representative publications beyond the recent five-year period with the latest publication entered first

   (vii) Others (please specify):

(e) <u>Plan(s) for Collaboration in This Application</u>
[Please indicate the role and the specific task(s) that the PC, each Co-PI and Co-I, if any, are responsible for.]
[*Letter(s) of collaboration can be attached to Part II Section 11.*]

[Please tick '✓' the box below to confirm.]

☐   I confirm that the Co-PI(s) and Co-I(s) listed in the proposal have explicitly agreed to serve in the project team and a copy of the proposal has been provided to each of the Co-PIs and Co-Is.   I shall provide documentary proof on the collaboration upon the request of the RGC / Secretariat.

3. **Particulars of the Project**

(a) Title of Project

English: _____

Chinese: _____

(b) Nature of Application

New ☐   Re-submission ☐   Continuation ☐

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

(c) (i) Research Field
[Please refer to **Annex B** to the Guidance Notes (IDS(C)2) for the field area and the corresponding code.]

Primary Field: _____ & Code: _____

Secondary Field: _____ & Code: _____

Cross-disciplinary research proposals should have primary and secondary research fields from different subject disciplines. Otherwise, the PC should explain in the space below how the proposal involves two or more subject disciplines.

_____

_____

_____

_____

_____

_____

_____

_____

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

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

(iv) Total Amount Requested (excluding on-costs): | HK$ |

(d) Abstract of Research Comprehensible to a Non-specialist
(Maximum of one A4 page in standard RGC format)

PART II   DETAILS OF THE RESEARCH PROPOSAL
[To be completed by the applicant]

RESEARCH DETAILS

1.   **Project Objectives and Pathways to Impact Statement**

    (a) Project Objectives
       (Maximum of two A4 pages in standard RGC format)
       [Please list the objectives in point form.]

    (b) Pathways to Impact Statement
       (Maximum of two A4 pages in standard RGC format)

2.   **Background of Research, Research Plan and Methodology**
     (Maximum of eleven A4 pages in standard RGC format for (a) and (b) below; no more than sixteen A4 pages for (a) to (d))
     [Please also elaborate how the researchers from different self-financing institutions and / or how researchers from different subject disciplines are collaborated to create synergy in the proposed research.]

    (a) Background of Research

    (b) (i) Research Plan and Methodology
        (ii) A one-page Gantt chart showing the research activities

    (c) A maximum of two non-text A4 pages of attached diagrams, photos, charts, and tables, etc., if any.

    (d) References
       (Full references, including all authors of each reference of the publications cited in 1(a)-(b) and 2(a)-(c), should be provided in a maximum of three A4 pages.)

3.   **Re-submission of a Proposal Previously NOT Supported**

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

       Yes ☐   No ☐

       If yes, please give the following details –

       Funding Agency(ies): _____

       Funding Programme(s) / Scheme(s): _____

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

Project Title(s): _____
[if different from Part I Section 3(a) above]

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

Rating: _____

(b) If this application is the same as or similar to the one(s) submitted but not supported previously, what were the main concerns / suggestions of the reviewers on the proposal(s)?

(c) Please give a brief response to the points mentioned in (b) above, highlighting the major changes that have been incorporated in this application.

PROJECT FUNDING

4.   **Cost and Justification**

(a) Estimated Cost and Resource Implications:
[Detailed justification should be given to support the request for each item below.   Items without quotations as required will not be considered.   Non-permissible items should not be included.   Please refer to Guidance Notes (IDS(C)2) Part II Section 4 and SF-DAMA Part III paragraph 22 for details.   Please insert "N/A" where applicable.]
(Maximum of one A4 page in standard RGC format for each item)

	Year 1 (HK$)	Year 2 (HK$)	Year 3 (HK$)	Year 4* (HK$)	Year 5* (HK$)	Total (HK$)
(A) One-line Vote Items						
(i) Supporting Staff Costs *(Monthly Salary x Nos. x Months)*						HK$
Details:						
‣ Senior Research Assistant(s)						
‣ Research Assistant(s)						
‣ Post-doctoral Fellow(s)						
‣ Research Postgraduate Student(s)						
‣ Others (please specify the post)						
Justification:						
(ii) Equipment Expenses *[Please itemize and provide quotation(s) for each item costing over HK$200,000.]*						HK$
Quotation(s) Provided: Yes ☐ No ☐						
Details:						
‣ _____						
‣ _____						
‣ _____						

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*   The project duration should normally last for a maximum of three years.   If there are any special circumstances and the PC is able to provide justifications, the project duration may exceed three years but should not exceed five years.

	Year 1 (HK$)	Year 2 (HK$)	Year 3 (HK$)	Year 4* (HK$)	Year 5* (HK$)	Total (HK$)
Justification:						
(iii) Outsourcing Expenses of Research Work Outside Hong Kong *[Please itemize your cost estimation with justification and provide quotations for each work costing over HK$200,000; and provide detailed justification of sample sizes and costs for surveys conducted outside Hong Kong.]* Quotation(s) Provided: Yes ☐ No ☐						HK$
Details:						
‣ _____						
‣ _____						
‣ _____						
Justification:						
(iv) General Expenses *[Please itemize and provide quotations for services / purchase costing over HK$200,000; and provide detailed justification of sample sizes and costs for surveys conducted in Hong Kong.]* Quotation(s) Provided: Yes ☐ No ☐						HK$
Details:						
‣ _____						
‣ _____						
‣ _____						

	Year 1 (HK$)	Year 2 (HK$)	Year 3 (HK$)	Year 4[*] (HK$)	Year 5[*] (HK$)	Total (HK$)
Justification:						
(v) Conference Expenses *[Up to HK$20,000 per year]*						HK$
Justification:						
(vi) Expenses for Dissemination of the Deliverables of Research						HK$
Details:						
‣ _____						
‣ _____						
‣ _____						
Justification:						
Sub-total for (A) (One-line Vote Items):						**HK$**
(B) Earmarked Items						
(vii) Costs for Employment of Relief Teacher (for PC and each Co-PI (with name)) PC: _____ (name) ‣ Rank of Relief Teacher: _____ (please specify the rank) ‣ No. of courses of the PC to be relieved by the Relief Teacher: Year 1: _____ courses Year 2: _____ courses Year 3: _____ courses ‣ Per course rate of relief teacher: Year 1: HK$_____						HK$

	Year 1 (HK$)	Year 2 (HK$)	Year 3 (HK$)	Year 4* (HK$)	Year 5* (HK$)	Total (HK$)
Year 2: HK$_____						
Year 3: HK$_____						
‣ Number of course(s) the PC is currently teaching in an academic year: _____ *[please include course(s) for locally-accredited local degree or higher degree work only]*						
Co-PI: _____ (name) _____						
‣ Rank of Relief Teacher: (please specify the rank)						
‣ No. of courses of the Co-PI to be relieved by the Relief Teacher:						
Year 1: _____ courses						
Year 2: _____ courses						
Year 3: _____ courses						
‣ Per course rate of relief teacher:						
Year 1: HK$_____						
Year 2: HK$_____						
Year 3: HK$_____						
‣ Number of course(s) the Co-PI is currently teaching in an academic year: _____ *[please include course(s) for locally-accredited local degree or higher degree work only]*						

	Year 1 (HK$)	Year 2 (HK$)	Year 3 (HK$)	Year 4* (HK$)	Year 5* (HK$)	Total (HK$)
Justification:						
(viii) High-performance Computing Services Expenses *[Up to HK$100,000]* Quotation(s) Provided: Yes ☐　　　No ☐						HK$
Justification:						
(ix) Research-related Software Licence / Dataset *[Please itemize and provide quotations for each item.]* Quotation(s) Provided: Yes ☐　　　No ☐						HK$
Justification:						
Sub-total for (B) (Earmarked Items):						**HK$**
(x) Total Cost of the Project (A) + (B)						**HK$**
(C) Deduction Items						
(xi) Less: Other Research Funds Secured from Other Sources						HK$
(D) Amount Requested in This Application (A) + (B) – (C)						HK$
(E) Auditing Expenses						HK$
(F) Total Amount Requested (D) + (E)						HK$

	Year 1 (HK$)	Year 2 (HK$)	Year 3 (HK$)	Year 4* (HK$)	Year 5* (HK$)	Total (HK$)
(G) On-costs (15% of approved cost on (D))						HK$
(H) Grand Total for This Application (F) + (G)						HK$

(b) <u>Declaration on the Equipment Procurement:</u>

☐ (i) I declare that no equipment is required.

OR

☐ (ii) I declare that the equipment indicated in 4(a)(A)(ii) above is not available in the institution.

OR

☐ (iii) I declare that all or some of the equipment (please provide details) indicated in 4(a)(A)(ii) above is available in the institution but cannot be used by PC for the following reasons.

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

(c) <u>Declaration on Employment of Relief Teacher</u>

☐ (i) I declare that no relief teacher is required.

OR

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

OR

☐ (iii) I declare that I hold funding for employment of relief teacher from the following on-going project(s) under UGC / RGC funding schemes.
Project Ref. No.:
Project Title:
Project Period:
Approved Amount for Relief Teacher:

(d) <u>Declaration on High-performance Computing Services</u>

☐ (i) I declare that no high-performance computing services are required.

OR

☐ (ii) I declare that the high-performance computing services indicated in 4(a)(B)(viii) above are not available in the institution.

OR

☐ (iii) I declare that all or some of the high-performance computing services (please provide details) indicated in 4(a)(B)(viii) above are available in the institution but cannot be used by PC for the following reasons.

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

(e) Declaration on the Research-related Software Licence / Dataset

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

OR

☐ (ii) I declare that the research-related software licence / dataset indicated in 4(a)(B)(ix) above is not available in the institution.

OR

☐ (iii) I declare that all or some of the research-related software licence / dataset (please provide details) indicated in 4(a)(B)(ix) above is available in the institution but cannot be used by PC for the following reasons.

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

5. **Existing Facilities and Major Equipment Available for this Research Project**
(Maximum of one A4 page in standard RGC format)

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.]

Source   Amount (HK$)

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

Source   Amount (HK$)

DECLARATION OF RELATED PROPOSALS
[Please refer to the Guidance Notes (IDS(C)2) for information required and implications for non-disclosure of related proposals]

7. <u>**Grant Record of Investigator(s)**</u>
   [Please note that any information listed on the CV at Part I Section 2(b) will NOT be regarded as fulfilling the declaration requirements in this section.]

   (a) **PC** - Details of research projects undertaken and proposals submitted by the PC (in the capacity of a Principal Investigator (PI) / PC / Co-PI / Co-I / Project holder^ / Team leader^) including:

       (i) completed research projects funded from all sources (irrespective of whether from the UGC / RGC) <u>in the past five years</u>;

       (ii) on-going research projects funded from all sources (irrespective of whether from the UGC / RGC); and

       (iii) proposals pending funding approval from all sources (irrespective of whether from the UGC / RGC)

       by filling in Tables 7(a) below.

   (b) **Co-PI(s)** - Details of research projects undertaken and proposals submitted by each Co-PI (in the capacity of a PI / PC / Co-PI / Co-I / Project holder^ / Team leader^) including:

       (i) on-going research projects funded from all sources (irrespective of whether from the UGC / RGC); and

       (ii) proposals pending funding approval from all sources (irrespective of whether from the UGC / RGC)

       by filling in Tables 7(b) below.

   (c) **Co-I(s)** - Details of research projects undertaken and proposals submitted by each Co-I (in the capacity of a PI / PC / Project holder^ /Team leader^) including:

       (i) on-going research projects funded from all sources (irrespective of whether from the UGC / RGC)

       by filling in Tables 7(c) below.

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^ Project holder / Team leader is applicable to projects under the Institutional Development Scheme (IDS) from 2014/15 to 2018/19 exercises and the IDS Research Infrastructure Grant from 2019/20 exercise onwards.

(d) **All of the PC, Co-PI(s) and Co-I(s)** are required to declare **<u>any related research work</u>** (irrespective of whether from the UGC / RGC and not limited to the past five years) that is being / has been conducted in relation to the proposal, 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. For the related research work, please provide:

    (i) the details (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 is / was part of a funded project; and

    (ii) clarifications that distinguish that related research work from the work requested to be funded through this proposal.

by filling in Table(s) 8(d) below.

[Please explain if you have difficulty in making the declaration.]

If the PC, Co-PI(s) and / or Co-I(s) fail to disclose any related research work that is being / has been conducted in relation to the proposal, the PC, Co-PI(s) and / or Co-I(s) will be subject to disciplinary action.

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

(i)   Completed research projects funded from all sources (irrespective of whether from the UGC / RGC) in the past five years

Project Ref. No.	Project Title	Project Objectives	Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader)	Funding Source(s) and Amount (HK$)	Project Period	Related to the Current Application # (Yes / No)

If it is related to the current application, please provide the following information by completing Section 7(d):

(i)   the details (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

(ii)   clarifications that distinguish that related research work from the work requested to be funded through this proposal.

(ii) On-going research projects funded from all sources (irrespective of whether from the UGC / RGC)

Project Ref. No.	Project Title	Project Objectives	Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader)	Funding Source(s) and Amount (HK$)	Project Period	No. of Hours Per Week Spent in Each Project (except in the capacity of Co-I)	Related to the Current Application # (Yes / No)

\# *If it is related to the current application, please provide the following information by completing Section 7(d):*

(i) *the details (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 is part of a funded project; and*

(ii) *clarifications that distinguish that related research work from the work requested to be funded through this proposal.*

(iii) Proposals pending funding approval from all sources (irrespective of whether from the UGC / RGC)

Proposal Ref. No.	Project Title	Project Objectives	Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader)	Funding Source(s) and Amount (HK$)	Estimated Project Period	Related to the Current Application # (Yes / No)

\# *If it is related to the current application, please provide the following information by completing Section 7(d):*

    (i)   the details (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 is part of a funded project; and

    (ii)   clarifications that distinguish that related research work from the work requested to be funded through this proposal.

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

(i) **On-going research projects funded from all sources (irrespective of whether from the UGC / RGC)**

Name of Co-PI(s)	Project Ref. No.	Project Title	Project Objectives	Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader)	Funding Source(s) and Amount (HK$)	Project Period	No. of Hours Per Week Spent in Each Project (except in the capacity of Co-I)	Related to the Current Application # (Yes / No)

If it is related to the current application, please provide the following information by completing Section 7(d):

(i) the details (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 is part of a funded project; and

(ii) clarifications that distinguish that related research work from the work requested to be funded through this proposal.

(ii) Proposals pending funding approval from all sources (irrespective of whether from the UGC / RGC)

Name of Co-PI(s)	Project Ref. No.	Project Title	Project Objectives	Capacity (PI / PC / Co-PI / Co-I / Project holder / Team leader)	Funding Source(s) and Amount (HK$)	Estimated Project Period	Related to the Current Application # (Yes / No)

\# *If it is related to the current application, please provide the following information by completing Section 7(d):*

(i) *the details (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 is part of a funded project; and*

(ii) *clarifications that distinguish that related research work from the work requested to be funded through this proposal.*

Table 7.(c) <u>**Co-I(s) - Details of research projects undertaken and proposals submitted by each Co-I (in the capacity of a PI / PC / Project holder / Team leader)**</u>

(i) On-going research projects funded from all sources (irrespective of whether from the UGC / RGC)

Name of Co-I(s)	Project Ref. No.	Project Title	Capacity (PI / PC / Project holder / Team leader)	Funding Source(s) and Amount (HK$)	Project Period	Related to the Current Application # (Yes / No)

\# *If it is related to the current application, please provide the following information by completing Section 7(d):*

    (i)   the details (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 is part of a funded project; and

    (ii) clarifications that distinguish that related research work from the work requested to be funded through this proposal.

Table 7.(d) <u>**Details of related research work undertaken by the PC, each Co-PI and Co-I (irrespective of whether from the UGC / RGC and not limited to the past five years)**</u>

One table for each related project / proposal / research work.

(i) Details of related research work undertaken by _____
(Name of PC / Co-PI / Co-I)
(ii) Clarifications to distinguish the related research work from the work in this proposal

ANCILLARY INFORMATION

8. **Research Ethics / Safety Approval and Access to Government / Official / Private Data and Records**

[Please refer to Guidance Notes (IDS(C)2) Part II Section 8 for the responsibilities and implications.]

(a) Research Ethics / Safety Approval

(i) I confirm that the research proposal

☐ involves human subjects.

OR

☐ does not involve human subjects.

(ii) Please tick '✓' 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 PC's institution. PC is encouraged to seek necessary approval before application deadline as far as possible.

	Approval not required	Approval obtained	Approval being sought
Human research ethics	☐	☐	☐
Animal research ethics	☐	☐	☐
Biological safety	☐	☐	☐
Ionizing radiation safety	☐	☐	☐
Non-ionizing radiation safety	☐	☐	☐
Chemical Safety	☐	☐	☐

(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 "N/A".

Names of authority(ies):

....

....

....

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

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

Yes ☐   No ☐

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

....

....

(ii) Please tick '✓' 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.

Names of agency(ies)	Approval not required	Approval obtained	Approval being sought
_____	☐	☐	☐
_____	☐	☐	☐
_____	☐	☐	☐
_____	☐	☐	☐
_____	☐	☐	☐

[*Note: PC is encouraged to seek necessary approval before application deadline as far as possible.*]

9. **Release of Completion Report, Data Archive Possibilities and Public Access of Publications Resulting from Research Funded by the RGC**

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

Yes ☐   No ☐

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

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

Yes ☐   No ☐

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

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

I undertake that upon acceptance of a paper for publication,

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

(ii)   if both (i)(A) and (B) above are not allowed, I will request the publisher to allow me to place either version in my institutional repository for restricted access immediately upon publication or after an embargo period of up to twelve months if required by the publisher; and

(iii)   subject to the publisher's agreement on (i) and (ii) above, I will deposit a copy of the publication in my institutional repository as early as possible but no later than six months after publication or the embargo period, if any.

10.   <u>**Technology Transfer Plan**</u> **(Optional)**
(Maximum of one A4 page in standard RGC format)

Appendix 1: Technology Transfer Plan
[Please attach in this section, if any.]

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.

11.   <u>**Letters of Collaboration and Supporting Documents**</u>
(Maximum of one A4 page in standard RGC format for each item)
[According to the Guidance Notes (IDS(C)2), applications will be disqualified if the proposals are found to have abused the purpose of this section.]

Appendix 2: Letters of Collaboration and Supporting Documents
[Please attach in this section, if any.]

<u>Project Coordinator</u>

Signature : _____

Title / Name : _____
(in BLOCK letters)

Designation : _____

Institution : _____

Date : _____

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

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

INSTITUTIONAL ENDORSEMENT

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

1.   Eligibility Requirement for IDS Collaborative Research Grant

I confirm that:

(a)   ☐   the application has been evaluated and endorsed by the institution for submission to the RGC;

(b)   ☐   the PC fully meets the eligibility as stated in Part I Section 2(b) and is not debarred from applying for any UGC / RGC grants;

(c)   ☐   the PC is / will be seconded to conduct research in a university or a research institute / body / agency in the Mainland / overseas jurisdiction with effect from _____ (date) while retaining his / her full-time appointment and position with this institution and is still on the payroll of this institution.

(d)   ☐   the PC's declared teaching load at Part II Section 4(a)(B)(vii) has been verified correct (only for the case where the applicant is seeking funding support for relief teacher);

(e)   ☐   the salary for the relief teacher proposed by the PC does not exceed the salary of the PC (only for the case where the applicant is seeking funding support for relief teacher);

(f)   ☐   the applicant will have the average number of hours per week as declared in Part I Section 2(a) to supervise the proposed project without prejudice to his / her existing commitment in other research work, teaching and administrative duties;

(g)   ☐   the applicant will abide by the in-house guidelines of the institution, as well as the relevant guidelines as set out by the RGC and the ICAC, whichever is more stringent, regarding procurement of facilities / equipment / services and for recruitment of supporting staff;

(h)   ☐   the institution will inform the RGC as soon as the PC ceases to be eligible to apply, receive or hold an IDS Collaborative Research Grant, and will withdraw the application; or recommend to the RGC for approval of a suitable new PC, if applicable[+], to take over the funded project once it is funded and commenced;

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

(i) ☐ the institution understands that the IDS Collaborative Research Grant, if given, will be withdrawn if the project does not start within one year of the announcement of funding result. The institution should report to the RGC as soon as possible when a PC proceeds on no-pay leave / professional leave for a continuous or cumulative period exceeding 183 days within the project period;

(j) ☐ the institution understands that if the project is approved, the institution may need to provide additional funding to ensure that the project can be successfully completed. The institution will also provide necessary infrastructural and overhead supports such as normal academic equipment, consumables, postage, fax, stationery, reference books, overseas telephone charges, etc. to the approved projects as appropriate; and

(k) each of the Co-PI(s) from the local self-financing degree-awarding institutions and his / her institution have completed / will complete the declaration form at **Annex** and

☐ the completed form(s) is / are attached

☐ the completed form(s) will be submitted by 25 June 2021

☐ the form(s) will not be provided
(please provide reasons:)

INSTITUTIONAL COMMITMENTS

2. **Support to PC**

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

(a) the research project under this IDS Collaborative Research Grant application

☐ is

☐ is not

in line with the role of the institution.

(b) adequate supervision, research facilities and training provisions

☐ will

☐ will not

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

(c) ☐   no equipment is required.

    ☐   the PC's declaration and reasons in Part II Section 4(b) are genuine and true; and I support the PC's request for this procurement of equipment.

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

    ☐   the PC's justification at Part II Section 4(a)(A)(iii) is reasonable and I support the PC's application for outsourcing the stated work outside Hong Kong.

(e) ☐   no relief teacher is required.

    ☐   the PC's declaration in Part II Section 4(c) is true and correct and I support the PC's request for this employment of relief teacher.

(f) ☐   no high-performance computing services are required.

    ☐   the PC's declaration and reasons in Part II Section 4(d) are true and correct and I support the PC's request for this subscription of high-performance computing resources.

(g) ☐   no research-related software licence / dataset is required.

    ☐   the PC's declaration and reasons in Part II Section 4(e) are genuine and true; and I support the PC's request for this procurement of the research-related software licence / dataset.

(h) ☐   this application does not include requests for purchasing normal academic equipment, computer, consumables, postage, fax, stationery, overseas telephone charges, and standard software licence / dataset known to be available or reasonably expected to be provided in the institutions concerned.

(i) this application

    ☐   has

    ☐   has not   (Please provide reasons for not scanning by anti-plagiarism software)

been scanned by anti-plagiarism software.

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

3. **Declaration of Research Ethics / Safety Approval and Access to Government / Official / Private Data and Records**
(Please tick '✓' the boxes as appropriate)

(a) Research Ethics / Safety Approval

I have examined the research proposal and confirm that:

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

OR

☐ the research proposal involves human subjects

and human research ethics ☐ approval has been obtained.

☐ approval is being sought.

☐ approval is not required / exemption has been obtained.

☐ exemption is being sought.

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

	Approval not required	Approval obtained	Approval being sought
Animal research ethics	☐	☐	☐
Biological safety	☐	☐	☐
Ionizing radiation safety	☐	☐	☐
Non-ionizing radiation safety	☐	☐	☐
Chemical Safety	☐	☐	☐

(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:

Names of agency(ies)	Approval not required	Approval obtained	Approval being sought
	☐	☐	☐
	☐	☐	☐
	☐	☐	☐
	☐	☐	☐
	☐	☐	☐

For (a) and (b) above, the institution will ensure that such approval will be obtained and provided to the RGC by 25 June 2021.   The institution understands that if such approval is not obtained by the deadline, the RGC will regard this IDS Collaborative Research Grant application as a withdrawn case and will stop further processing it.

Signature : _____

Title / Name : _____
        (in BLOCK letters)

Designation : _____

Institution : _____

Date : _____

UGC Secretariat
November 2020

INSTITUTIONAL DEVELOPMENT SCHEME (IDS)
COLLABORATIVE RESEARCH GRANT

Declaration by the Co-Principal Investigator (Co-PI) and the Institution[*]

[Please tick '✓' the appropriate box.]

Co-PI

I confirm that:

☐   I am willing to take up the role of Co-PI of the project (RGC Ref. No.: _____)

☐   I am a full-time academic staff in the local self-financing degree-awarding institution, and I

- spend at least 80% of time in teaching degree or higher degree work[1];
- have at least a one-year renewable contract with the institution at the time of funding award being made; and
- will inform the Project Coordinator of this project immediately if there is any change in the eligibility requirement.

☐   I am / will be seconded to conduct research in the following university / research institute / body / agency in the Mainland / overseas jurisdiction while retaining my full-time appointment and position with my parent institution and is still on the payroll of the parent institution during the secondment.

- Name of university / research institute / body / agency: _____
- Region / Country: _____
- With effect from: _____

☐   I currently hold / do not hold[△] any grant for employment of relief teacher from any on-going project under UGC / RGC funding schemes. Please provide details of the on-going project(s) with funding for employment of relief teacher, as appropriate.

       Project Ref. No.:
       Project Title:
       Project Period:
       Approved Amount for Relief Teacher:

☐   I have read and fully understand the requirements as set out in the IDS Collaborative Research Grant Application Form (IDS(C)1), the Guidance Note (IDS(C)2), the Call for Proposals and the Guidelines on Disbursement, Accounting and Monitoring Arrangements for Competitive Research Funding Schemes for the Local Self-financing Degree Sector (SF-DAMA).

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[1] A PC / Co-PI who is / will be seconded to conduct research in a university or a research institute / body / agency in the Mainland / overseas jurisdiction while retaining his / her full-time appointment and position with his / her parent institution and is still on the payroll of the parent institution is eligible to apply for the IDS Collaborative Research Grant.

Signature of the Co-PI: _____

Title / Name of Co-PI : _____
(in BLOCK letters)

Institution: _____

Date: _____

* *Applicable to Co-PI from the local self-financing degree-awarding institution only.*
△ *Delete as appropriate*

Institution

I confirm that:

☐   the Co-PI fully meets the eligibility as stated above and is not debarred from applying for any UGC / RGC grants;

☐   the Co-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 _____ (date) while retaining his / her full-time appointment and position with this institution and is still on the payroll of this institution.

☐   The Co-PI's declaration on grant for employment of relief teacher above is true and correct and the Co-PI's request for employment of relief teacher in the proposal is supported.

☐   the Co-PI's declared teaching load at Part II Section 4(a)(B)(vii) has been verified correct (only for the case where the Co-PI is seeking funding support for relief teacher);

☐   the salary for the relief teacher proposed by the Co-PI does not exceed the salary of the Co-PI (only for the case where the applicant is seeking funding support for relief teacher);

☐   the Co-PI will have the average number of hours per week as declared in Part I Section 2(a) to supervise the proposed project without prejudice to his / her existing commitment in other research work, teaching and administrative duties;

☐   the Co-PI will abide by the in-house guidelines of the institution, as well as the relevant guidelines as set out by the RGC and the ICAC, whichever is more stringent, regarding procurement of facilities / equipment / services and for recruitment of supporting staff; and

☐   the institution will inform the RGC as soon as the Co-PI ceases to be eligible to apply, receive or hold an IDS Collaborative Research Grant via the Project Coordinator's institution.

Signature of the appropriate authority of
the Co-PI's Institution : _____

Title / Name : _____
(in BLOCK letters)

Designation : _____

Institution : _____

Date : _____