

RGC Ref. No.<sup>1</sup>:  
\_\_\_\_\_**RESEARCH GRANTS COUNCIL (RGC)****RESEARCH FELLOW SCHEME (RFS) /  
SENIOR RESEARCH FELLOW SCHEME (SRFS) 2020/21****Nomination Form (RFS-SRFS-1)***Important Notes to the Nominee and Supporting University*

1. *Please read the Explanatory Notes (RFS-SRFS-2) as well as the Operation Guide for the RGC Research Fellow Scheme and RGC Senior Research Fellow Scheme carefully before completing this form.*
2. *One soft copy in text-searchable PDF (with other PDF attachments if applicable) and four hard copies (including the original version) of each nomination are required to reach the UGC Secretariat by the stipulated deadline. The soft copy of the nomination should be saved in one CD/DVD/USB memory stick as far as possible. Late submission will not be entertained.*
3. *To safeguard the interests of the researcher and the university, the supporting 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 supporting university is strongly encouraged to vet the proposal using anti-plagiarism software before submitting the nomination to the RGC.*
4. *Please fill in the RGC Ref. No in the following format :*  
  
*For RFS nomination:*  
*“RFS2021” + dash “-” + one-digit university code + selection panel code (“H” or “S”)*  
*+ two-digit ordinal number (e.g. RFS2021-3H01), as detailed in the Explanatory Notes.*  
  
*For SRFS nomination:*  
*“SRFS2021” + dash “-” + one-digit university code + selection panel code (“H” or “S”)*  
*+ two-digit ordinal number (e.g. SRFS2021-3H01), as detailed in the Explanatory Notes.*
5. *In the debut exercise (2020/21), the supporting university will receive for each RFS awardee a fellowship grant of HK\$5,155,380 for the 60-month fellowship period, disregard whether the awardee is a clinical or non-clinical academic.*
6. *In the debut exercise (2020/21), the supporting university will receive for each SRFS awardee a fellowship grant of HK\$7,798,380 for the 60-month fellowship period, disregard whether the awardee is a clinical or non-clinical academic.*
7. *In the debut exercise (2020/21), shortlisted candidates for RFS / SRFS will be invited for interview by the selection panel concerned during the first half of June 2020.*

<sup>1</sup> Please refer to Important Notes 4 and the Explanatory Notes (RFS-SRFS-2).

**PART I PARTICULARS OF THE NOMINEE****[To be completed by the nominee]****1. Basic Information**

Title: Professor / Dr / Mr / Ms / Miss / Mrs\*

*\* Please delete as appropriate*

Family Name:

Given Name:

*(Please use the name as shown in your Hong Kong Identity Card or passport)*Name in Chinese  
(if applicable):HK Permanent Resident<sup>2</sup>: Yes / No\*

Gender:

 Male / Female\**\* Please delete as appropriate*

Nationality:

HKID / Passport\* Number:

*\* Please delete as appropriate*

Contact Phone Number:

*(Country Code) (Area Code) (Number)*

Email:

Open Researcher and Contributor  
ID Identifier (ORCID iD):

Personal Website (if any):

Are you a current UGC / RGC Committee / Panel Member as at the close of nomination?

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

Yes

*Please provide the name of UGC / RGC Committee / Panel you are serving:*

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No

<sup>2</sup> As defined under the Immigration Ordinance at <https://www.immd.gov.hk/eng/services/roa/eligible.html>

## 2. Current Employment

Post Title:

Unit / Department:

University (Country if outside Hong Kong):

Is Your Academic Appointment on Full-time<sup>3</sup> Basis?

*\* Please delete as appropriate*

Date of Appointment at Current Post (dd/mm/yyyy):

Date of Joining the Supporting University as Full-time<sup>3</sup> Staff (dd/mm/yyyy):

**Current Teaching Responsibilities:**

*(Please specify courses or responsibilities and estimated time spent on each per week) (max. 200 words)*

**Current Administrative Responsibilities:**

*(Please specify responsibilities and estimated time spent on each per week) (max. 200 words)*

**Estimated Amount of Time Currently Spent on Your Research:**

*(e.g. estimated hours per week)*



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<sup>3</sup> Not including visiting or honorary appointment

### 3. Curriculum Vitae (CV)

- (a) Research Interest – Please provide a brief description of your current research interest in max. 400 words:

- (b) Career Accomplishment – Please provide a brief description of your career accomplishment in max. 400 words:

- (c) Please attach a CV in chronological order (a maximum of two A4 pages in standard RGC format<sup>4</sup>) which should include the information as listed below. All the dates given should be in ‘dd/mm/yyyy’ format.

- (i) Academic qualifications (with dates and name of awarding universities)
- (ii) Previous academic positions held (with dates)
- (iii) Present academic position(s) (with date(s))
- (iv) Previous relevant research work
- (v) 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
- (vi) Others (please specify)

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<sup>4</sup> Please refer to Explanatory Notes (RFS-SRFS-2).

**PART II RESEARCH PROPOSAL****[To be completed by the nominee]****1. Particulars of the Project**

- (a) Title of Project:
- (b) Research Field<sup>5</sup>:
- Primary Field:  & Code:
- Secondary Field:  & Code:

Please provide a maximum of five keywords to characterise the work of your proposal:

*(Maximum of 30 characters for each keyword)*

- (i)  (iv)
- (ii)  (v)
- (iii)

- (c) Abstract of Research – Please provide an abstract of research comprehensible to a non-specialist in one A4 page in standard RGC format.

**2. Research Details**

- (a) Project Objectives and Pathways to Impact Statement – Please provide a maximum of two A4 pages in standard RGC format on each of the following items:
- (i) Project Objectives *[Please list the objectives in point form]*
- (ii) Pathways to Impact Statement
- (b) Background of Research, Research Plan and Methodology – Please provide (I) a maximum of eight A4 pages in standard RGC format for items (i) and (ii); and (II) no more than a total of thirteen A4 pages for items (i) to (iv) below:
- (i) Background of Research
- (ii) ▶ Research Plan and Methodology

<sup>5</sup> Please refer to Annex A of the Explanatory Notes (RFS-SRFS-2).

- A one-page Gantt chart showing the research activities
  - (iii) A maximum of two non-text A4 pages of attached diagrams, photos, charts, tables, etc., if any
  - (iv) References  
(Full references, including all authors of each reference of the publications cited in a(i)-(ii) and b(i)-(iii), should be provided in a maximum of three A4 pages.)
- (c) Work Plan – Please provide a work plan including the following in max. 400 words:
- (i) Timetable of the proposed research (including project period)
  - (ii) The work to be undertaken during the fellowship

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- (d) Outputs to be delivered at the end of the fellowship and dissemination plan:

Type (Journal / Conference / Others)	Name of journal, conference or other dissemination means	Target timing of dissemination (quarter/year)

*Please add row(s) if needed*

- (e) Nature of Proposal<sup>6</sup>:  
[Please tick '✓' in the appropriate box.]

New                       Continuation                       Re-submission

- (i) If this research proposal is a continuation of the work of a research project previously funded by the UGC / RGC, please provide the following details –

<sup>6</sup> Please refer to Part II of the Explanatory Notes (RFS-SRFS-2).

Funding Programme(s) / Scheme(s): \_\_\_\_\_

Reference No(s): \_\_\_\_\_

Project Title(s): \_\_\_\_\_  
[if different from Part II 1(a) above]

- (ii) If this research proposal is a re-submission or largely similar to a proposal that has been previously submitted to but NOT supported by the UGC / RGC or other funding agencies, please provide 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 II 1(a) above]

Date (month / year) of  
Application(s): \_\_\_\_\_

Rating / Outcome: \_\_\_\_\_

- (iii) If this research proposal 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)?

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- (iv) Please give a brief response to the points mentioned in (ii) above, highlighting the major changes that have been incorporated in this proposal.

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- (f) **Plan(s) for collaboration in this proposed research:**  
[Please indicate the role and the specific task(s) you and each collaborator, if any, is / are responsible for. It is not required to provide CV(s) of collaborator(s), letters of collaboration and related supporting documents of this proposed research at this stage. The awardees of fellowship will be required to provide documentary proof on the collaboration, if any, upon the request of the UGC / RGC.]



**PART III PROJECT FUNDING**

**[To be completed by the nominee. Please refer to *Important Notes to the Nominee and Supporting University 5 and 6* for the amount of fellowship grant to be received by the supporting university for each RFS / SRFS awardee.]**

**1. 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 insert “N/A” where applicable.]

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year 3</u> <u>(HK\$)</u>	<u>Year 4</u> <u>(HK\$)</u>	<u>Year 5</u> <u>(HK\$)</u>	<u>Total</u> <u>(HK\$)</u>
<b>(A) One-line Vote Items</b>						
<b>(i) Supporting Staff Costs</b> <i>(Monthly Salary x Nos. x Months)</i>						HK\$
<u>Details:</u>						
▸ Senior Research Assistant(s)						
▸ Research Assistant(s)						
▸ Post-doctoral Fellow(s)						
▸ Research Postgraduate Student(s)						
▸ Others <u>(please specify the post here)</u>						
Justification:						
<b>(ii) Equipment Expenses</b> <i>[please itemise and provide quotations for each item costing over HK\$200,000]</i>						HK\$

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year 3</u> <u>(HK\$)</u>	<u>Year 4</u> <u>(HK\$)</u>	<u>Year 5</u> <u>(HK\$)</u>	<u>Total</u> <u>(HK\$)</u>
Quotation Provided: Yes <input type="checkbox"/> No <input type="checkbox"/>						
<u>Details:</u>						
▸ _____						
▸ _____						
Justification:						
<b>(iii) Costs for Employment of Relief Teacher(s)</b>  ▸ Rank of Relief Teacher(s): _____ (please specify the rank here)  ▸ Proposed Monthly Salary x Months: _____ x _____  ▸ No. of course(s) you are currently teaching in an academic year: _____  ▸ No. of course(s) the Relief Teacher(s) will teach in an academic year: _____  <i>[please report UGC-funded                      programmes only]</i>						HK\$

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year 3</u> <u>(HK\$)</u>	<u>Year 4</u> <u>(HK\$)</u>	<u>Year 5</u> <u>(HK\$)</u>	<u>Total</u> <u>(HK\$)</u>
Justification:						
<p><b>(iv) Outsourcing Expenses of Research Work Outside Hong Kong</b>  <i>[please itemise 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.]</i></p> <p>Quotation Provided:            Yes <input type="checkbox"/> No <input type="checkbox"/></p>						HK\$ <input type="text"/>
<u>Details:</u>						
▶ _____						
▶ _____						
Justification:						
<p><b>(v) General Expenses</b>  <i>[please itemise 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.]</i></p>						HK\$ <input type="text"/>

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year 3</u> <u>(HK\$)</u>	<u>Year 4</u> <u>(HK\$)</u>	<u>Year 5</u> <u>(HK\$)</u>	<u>Total</u> <u>(HK\$)</u>
Quotation Provided: Yes <input type="checkbox"/> No <input type="checkbox"/>						
<u>Details:</u>						
▶ _____						
▶ _____						
Justification:						
<b>(vi) Conference Expenses</b> <i>[up to HK\$20,000 per year]</i>						HK\$
Justification:						
<b>(vii) Travel (for non-conference research-related trip(s))</b> <i>[Please specify the destination and number of days of travel]</i>						HK\$
Justification:						
<b>(viii) Subsistence (for non-conference research-related trip(s))</b> <i>[Please specify the destination, number of days and the amount of subsistence allowance required]</i>						HK\$
Justification:						

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year 3</u> <u>(HK\$)</u>	<u>Year 4</u> <u>(HK\$)</u>	<u>Year 5</u> <u>(HK\$)</u>	<u>Total</u> <u>(HK\$)</u>	
(ix) <b>Expenses for Dissemination of Research Deliverables</b>						HK\$	
<u>Details:</u>							
▸ _____							
▸ _____							
Justification:							
<b>Sub-total for (A) (One-line Vote Items):</b>							HK\$
<b>(B) <u>Earmarked Items</u></b>							
(x) <b>High-performance Computing Services Expenses</b> <i>[up to HK\$100,000]</i>						HK\$	
Quotation Provided:							
Yes <input type="checkbox"/> No <input type="checkbox"/>							
Justification:							
(xi) <b>Research-related Software Licence / Dataset</b> <i>[please itemise and provide quotations for each item]</i>						HK\$	

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year 3</u> <u>(HK\$)</u>	<u>Year 4</u> <u>(HK\$)</u>	<u>Year 5</u> <u>(HK\$)</u>	<u>Total</u> <u>(HK\$)</u>
Quotation Provided:  Yes <input type="checkbox"/> No <input type="checkbox"/>						
Justification:						
<b>Sub-total for (B) (Earmarked Items):</b>						<b>HK\$</b>
<b>Total Cost of the Project (A) + (B)</b>						<b>HK\$</b>

## (b) Declaration on the Equipment Procurement:

- (i) No procurement of equipment is required.
- OR
- (ii) I declare that the equipment indicated in Part III 1(a)(A)(ii) above is not available in the university.
- OR
- (iii) I declare that all or some of the equipment (please provide details) indicated in Part III 1(a)(A)(ii) above is available in the university but cannot be used by me in view of the following reasons.

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

## (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.  
 Project Ref. No.:  
 Project Title:  
 Project Period:  
 Approved Amount for Relief Teacher: \$  
 Employment period of Relief Teacher  
 (mm/yyyy to mm/yyyy):

## (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 Part III 1(a)(B)(x) above is not available in the university.
- OR
- (iii) I declare that all or some of the high-performance computing services (please provide details) indicated in Part III 1(a)(B)(x) above is available in the university but cannot be used by me in view of 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) No procurement of research-related software licence / dataset is required.

OR

(ii) I declare that the research-related software licence / dataset indicated in Part III 1(a)(B)(xi) 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) indicated in Part III 1(a)(B)(xi) above is available in the university but cannot be used by me in view of the following reasons.

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

**2. Existing Facilities and Major Equipment Available for This Research Project**

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

**3. Funds Secured or To Be Secured**

## (a) Other research funds already secured for this research proposal:

[Please note that there should not be duplicated funding (expenditure) on the same research work undertaken for the same research proposal / project, as the funding under RFS / SRFS and other research funds should only be spent on a complementary basis.]

<u>Source</u>	<u>Amount (HK\$)</u>	<u>Research Work / Expenses Item(s) Supported</u>

*Please add row(s) if needed*

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

[Please note that there should not be duplicated funding (expenditure) on the same research work undertaken for the same research proposal / project, as the funding under RFS / SRFS and other research funds should only be spent on a complementary basis.]

<u>Source</u>	<u>Amount (HK\$)</u>	<u>Research Work / Expenses Item(s) Supported</u>

*Please add row(s) if needed*



**PART IV DECLARATION OF RELATED PROPOSALS, GRANT AND FELLOWSHIP RECORD**

[To be completed by the nominee. Please refer to the Explanatory Notes (RFS-SRFS-2) for implications for non-disclosure of related proposals]

*[Please note that any information listed on the CV in Part I 3(c) will NOT be regarded as fulfilling the declaration requirements in this section.]*

- (a) Please provide details in Table 1(a) below the research work undertaken and proposals submitted by you (in a Principal Investigator (PI) / Project Coordinator (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); and
  - (iii) proposals pending funding approval from all sources (irrespective of whether from UGC / RGC).
- (b) You are required to declare **any related research work** (irrespective of whether from 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, books, etc.), presentations, media interviews, other submitted proposals, etc. Please provide the following in Table 1(b) below:
- (i) 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 which distinguish that related research work from the work requested to be funded through this fellowship.
- (c) Declaration on concurrent grant(s) in the form of fellowship<sup>7</sup>:
- (i) I declare that I am not holding and will not be concurrently holding any grant in the form of fellowship awarded by the UGC / RGC or other funding agencies during this fellowship period.
- OR
- (ii) I declare that I am currently holding grant(s) in the form of fellowship awarded by the UGC / RGC or other funding agencies with details as follows-

<sup>7</sup> During the RFS / SRFS fellowship period, awardees may hold concurrent grant(s) (but not in the form of fellowship) awarded by the UGC / RGC or other funding agencies on research project(s) other than that under RFS / SRFS.

Funding Agency(ies): \_\_\_\_\_  
Name of the Fellowship(s): \_\_\_\_\_  
Reference No(s).  
[if applicable] \_\_\_\_\_  
Period of the Fellowship(s): \_\_\_\_\_

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

**You will be subject to disciplinary action if you fail to disclose any related research work that is being / has been conducted in relation to this research proposal.**

Table 1(a) - Details of research projects undertaken and proposals submitted by you (in a PI / PC or Co-I / Co-PI capacity)

(i) Completed research work funded from all sources (irrespective of whether from UGC / RGC)

Project Ref. No.	Project Title	Project Objectives	Capacity (PI / PC / Co-PI / Co-I)	Funding Source(s) and Amount (HK\$)	Project Period	Completed Within the Past Five Years (Yes / No)	Related to the Current Research Proposal # (Yes / No)

# If it is related to the current research proposal, please provide the following information by completing Table 1(b) below:

- ▶ 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
- ▶ clarifications which distinguish that related research work from the work requested to be funded through this fellowship.

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

Project Ref. No.	Project Title	Project Objectives	Capacity (PI / PC / Co-PI / Co-I)	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 Research Proposal # (Yes / No)

# If it is related to the current research proposal, please provide the following information by completing Table 1(b) below:

- ▶ 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
- ▶ clarifications which distinguish that related research work from the work requested to be funded through this fellowship.

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

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

# If it is related to the current research proposal, please provide the following information by completing Table 1(b) below:

- ▶ 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
- ▶ clarifications which distinguish that related research work from the work requested to be funded through this fellowship.



**PART V ANCILLARY INFORMATION****[To be completed by the nominee.]****1. Research Ethics / Safety Approval and Access to Government / Official / Private Data and Records**

[Please refer to Explanatory Notes (RFS-SRFS-2) Part V 1 for the responsibilities and implications]

**(a) Research Ethics / Safety Approval**

(i) I confirm that the research proposal

 involves human subjects.**OR** does not involve human subjects.

(ii) Please tick ‘✓’ in the appropriate boxes to confirm if approval for the respective ethics and / or safety issues is required and has been / is being obtained from my supporting university. You are encouraged to seek necessary approval before nomination deadline as far as possible.

	<u>Approval not required</u>	<u>Approval obtained</u>	<u>Approval being sought</u>
Human research ethics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Animal research ethics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Biological safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ionising radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-ionising radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chemical safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(iii) If approval is required by **other authorities**, please indicate below the names of the authorities and the prospects of obtaining such approval. If not applicable, please put “N/A”.

Names of authority(ies):

.....

.....

.....

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

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

Yes  No

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

.....

.....

.....

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

<u>Names of agency(ies)</u>	<u>Approval not required</u>	<u>Approval obtained</u>	<u>Approval being sought</u>
_____	<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: You are encouraged to seek necessary approval before nomination deadline as far as possible.]



## 2. 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 supporting 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 supporting university's 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 supporting 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) and (ii) above, I will deposit a copy of the publication in my supporting university's repository as early as possible but no later than six months after publication or the embargo period, if any.

### 3. Technology Transfer Plan (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, nominees are invited to submit an optional technology transfer plan at the nomination 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.

Signature of Nominee : \_\_\_\_\_

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

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

Supporting University : \_\_\_\_\_

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

**PART VI UNIVERSITY RECOMMENDATION, ENDORSEMENT AND DECLARATION OF RESEARCH ETHICS / SAFETY APPROVAL**

[To be completed and signed by the appropriate authority of the supporting university for submission.]

**1. University Recommendation**

(\*Please tick '✓' as appropriate in the box)

(a) I confirm that this nomination is recommended for the

**Research Fellow Scheme (RFS)**

**Senior Research Fellow Scheme (SRFS)**

(b) It is proposed that this nomination be assessed by the

**Science, Technology, Engineering and Mathematics (STEM) Panel**

**Humanities, Social Sciences and Business Studies (HSSB) Panel**

**2. University Endorsement**

(\*Please tick '✓' as appropriate in the box)

(a) Nominee's Eligibility

I ensure that the nominee:

(i)  will obtain / has obtained a legal right to work and reside in Hong Kong during the fellowship period;

(ii)  is having a full-time<sup>3</sup> academic appointment at the supporting UGC-funded university proper<sup>8</sup>;

(iii)  have been serving the supporting UGC-funded university proper<sup>8</sup> on a full-time<sup>3</sup> basis for not less than three years continuously;

(iv)  is a tenured (or substantiated) Associate Professor (or equivalent) and at Staff Grade from "C" to "G" (for RFS) / a tenured (or substantiated) full Professor (or equivalent) and at Staff Grade from "A" to "D" (for SRFS)\*;

\* Please delete as appropriate

(v)  is primarily engaged in and spending at least 80% of time in degree or higher degree work at the supporting university proper<sup>8</sup>; and

<sup>8</sup> Excluding schools / arms of continuing education and professional training and other analogous outfits

- (vi)  has his/her salary wholly funded by the university proper<sup>8</sup>.

Subject to exceptional consideration on a case-by-case basis, the requirements above may be relaxed for Hong Kong talent working overseas so that they are incentivised to return to Hong Kong to take up the fellowship. Please complete (vii) to (x) below for a nominee who is Hong Kong talent working overseas:

I ensure that the nominee:

- (vii)  is a Hong Kong permanent resident enjoying the right of abode in Hong Kong as defined under the Immigration Ordinance<sup>2</sup>;
- (viii)  is a researcher at a university / institute outside Hong Kong at the time of nomination with academic / research profile equivalent to Associate Professor (for RFS) / full Professor (for SRFS)\*; and  
*\* Please delete as appropriate*
- (ix)  will be supported by the university proper<sup>8</sup> during his / her entire period of fellowship, with a tenured (or substantiated) full-time appointment at Staff Grade from “C” to “G” (for RFS) / at Staff Grade from “A” to “D” (for SRFS)\* commencing within the (calendar) year following the (calendar) year in which the nomination period closes; and  
*\* Please delete as appropriate*
- (x)  will be primarily engaged in and spending at least 80% of time in degree or higher degree work at the supporting university proper<sup>8</sup>.

(b) Requirements for the Fellowship

I confirm that:

- (i)  the nominee is not debarred from applying for any UGC / RGC grants (or fellowships), and this nomination has been evaluated and endorsed by the university for submission to the RGC;
- (ii)  the nominee’s declared teaching load at Part III 1(a)(A)(iii) has been verified correct, and the salary for the relief teacher proposed by the nominee does not exceed the salary of Staff Grade “G” (i.e. Lecturer (U));
- (iii)  the nominee will abide by the in-house guidelines of the university, 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;
- (iv)  the university will inform the RGC as soon as the nominee ceases to be eligible to be nominated or hold the fellowship, and will withdraw the nomination / terminate the fellowship;

- (v)  the university understands that the fellowship grant, if given, will be withdrawn if the research project under the fellowship does not start within 12 months of the announcement of result. The university should report to the RGC as soon as practicable when a nominee proceeds on no-pay leave / professional leave for a continuous or cumulative period exceeding 183 days within the fellowship period; and
- (vi)  the university understands that if the nomination is approved, the university may need to provide additional funding to ensure that the project can be successfully completed. The university 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 project(s) as appropriate.

### 3. University Commitments

(\*Please tick '✓' as appropriate in the box)

(a) Support to Nominee

The university fully understands that the primary duty of the nominee, having received the fellowship, is to complete the research project according to plan and I hereby confirm that:

- (i) the research project under this fellowship nomination

is

is not

in line with the role of the university.

- (ii) 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 project if this research proposal is supported by the RGC.

- (iii) if the nomination is successful, the university

will

will not

undertake to manage the grant and make arrangements to release the nominee from teaching and administrative duties as stated in this nomination.

- (iv)  no equipment is required.  
 the nominee's declaration and reasons in Part III 1(b) are genuine and true; and I support the nominee's request for this procurement of equipment.
- (v)  no outsourcing outside Hong Kong is required.  
 the nominee's justification at Part III 1(a)(A)(iv) is reasonable and I support the nominee's proposal for outsourcing the stated work outside Hong Kong.
- (vi)  no relief teacher is required.  
 the nominee's declaration in Part III 1(c) is true and correct, and I support the nominee's request for this employment of relief teacher.
- (vii)  no high-performance computing services is required.  
 the nominee's declaration and reasons in Part III 1(d) are true and correct, and I support the nominee's request for this subscription of high-performance computing resources.
- (viii)  no research-related software licence / dataset is required.  
 the nominee's declaration and reasons in Part III 1(e) are genuine and true, and I support the nominee's request for this procurement of the research-related software licence / dataset.
- (ix)  this nomination 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 university concerned.
- (x) this nomination  
 has  
 has not (Please provide reasons for not scanning by anti-plagiarism software)  
 been scanned by anti-plagiarism software.

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

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

(\*Please tick '✓' as appropriate in the box)

##### (a) Research Ethics / Safety Approval

I have examined the research proposal and confirm that:

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

**OR**

- the research proposal involves human subjects

- and human research ethics  approval has been obtained.  
 approval is being sought.  
 approval not required / exemption has been obtained.  
 exemption is being sought.

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

	Approval not <u>required</u>	Approval <u>obtained</u>	Approval <u>being sought</u>
Animal research ethics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Biological safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ionising radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-ionising radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Chemical safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

I have examined the research proposal and confirm that

- (i) the approval of the appropriate authority(ies) is / are:

- required  
 not required

- (ii) the approval of the appropriate agency(ies) has been / will be obtained in respect of the following:

<u>Names of agency(ies)</u>	<u>Approval not required</u>	<u>Approval obtained</u>	<u>Approval being sought</u>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

For (a) and (b) above, 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 2020, the RGC will regard this nomination as being withdrawn and will stop further processing it.

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

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

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

University : \_\_\_\_\_

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

UGC Secretariat  
September 2019