

RESEARCH GRANTS COUNCIL

RESEARCH FELLOW SCHEME (RFS) / SENIOR RESEARCH FELLOW SCHEME (SRFS) 2020/21

Explanatory Notes (RFS-SRFS-2) for completing the Nomination Form

All nominees and supporting universities should read this *Explanatory Notes* as well as the *Operation Guide for the RGC Research Fellow Scheme and RGC Senior Research Fellow Scheme* carefully before completing and submitting the nomination. The Research Grants Council (RGC) may stop further processing your nomination if it is found to be not in compliance with any of the requirements as set out in the Explanatory Notes.

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. A uniform rate, with figure as at the close of the nomination period, is applied throughout the 60-month fellowship period and for both non-clinical and clinical academics.

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. A uniform rate, with figure as at the close of the nomination period, is applied throughout the 60-month fellowship period and for both non-clinical and clinical academics.

GENERAL

- (a) These notes are intended to be read by the nominee / related staff of supporting university before completion and submission of an RFS / SRFS nomination.
- (b) The nomination form (RFS-SRFS-1) contains 6 parts from I to VI. **All parts of the nomination form should be completed.** Where information sought is not applicable or not provided under a particular part, insert “N/A” or “Nil”. The item numbers under Parts I to VI in these notes correspond to those in the nomination form.
- (c) For nominations which have genuine special needs to be completed in a language other than English, the nominees and supporting universities are required to provide an English version on the Abstract and Research Details (Project Objectives and Pathways to Impact Statement, Background of Research, Research Plan and Methodology).

- (d) In order to ensure consistency and fairness, all nominees and supporting universities must complete the nominations in the following standard RGC format. **Failure to comply with the following format may lead to disqualification of nominations.**

Font : Times New Roman

Font Size : 12 point

Margin : 2.5 cm all round

Spacing : Single-line spacing

PDF version: compatible with Adobe Acrobat Reader 5 and text-searchable

- (e) Documents as requested in the nomination form (e.g. CV, abstract of research, project objectives, etc.) should be attached in the respective part of the nomination form, except specified otherwise, within the page / word limits as specified.
- (f) **The deadline for submission of nomination is 5:00 p.m. of 29 November 2019 (Friday).** 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 deadline. The content of the soft and hard copies must be identical. Please name the soft copy using the RGC reference number. 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.
- (g) The RGC reference number should be used and quoted in all future correspondence with 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)

For SRFS nomination

“SRFS2021” + dash “-” + one-digit university code + selection panel code (“H” or “S”) + two-digit ordinal number (e.g. SRFS2021-3H01)

Details of the last three components of the RGC reference number are set out as follows:

- (i) One-digit university code

Please refer to the list below:

1. City University of Hong Kong
2. Hong Kong Baptist University
3. Lingnan University
4. The Chinese University of Hong Kong
5. The Hong Kong Polytechnic University
6. The Hong Kong University of Science and Technology
7. The University of Hong Kong
8. The Education University of Hong Kong

(ii) Selection panel code

H – Humanities, Social Sciences and Business Studies Panel

S – Science, Technology, Engineering and Mathematics Panel

(iii) Two-digit ordinal number

It indicates the order of nomination case(s) made by the supporting university for each selection panel in this exercise (i.e. 01 to 06).

The RGC shall have the discretion to decide on the panel responsible for the final assessment of each nomination.

- (h) In view of the substantial amount of data involved, the supporting university is required to submit the nominations together with a summary of critical information (in Excel table format, template to be provided to the Research Office under separate cover by email) on all nominations made in this exercise. The completed critical data file (in Excel) should reach the UGC Secretariat via email by the deadline (i.e. **5:00 p.m. of 29 November 2019 (Friday)**).
- (i) To help reduce the cost of processing and save paper, nominees and supporting universities are urged to keep the length of research proposal and attachments to the minimum and use double-sided printing / photocopying when making copies. It is important that nominees and supporting universities should comply with the page / word limits specified in various parts of the nomination form.
- (j) It is the obligation of nominees and supporting universities to ensure that their respective nominations contain sufficient and consistent information for evaluation. **Incomplete submission** (such as those lacking substantial data / information for evaluation) **or inconsistent / inaccurate information would lead to disqualification of a nomination.**
- (k) Nominees and supporting universities **are not allowed to mention anything not related to the research proposal per se** in the nomination form with a view to communicating to the reviewers that the latter should give a certain

rating if they intend to support the project under the fellowship concerned. **Should such act be discovered, the nomination concerned will be disqualified.**

- (l) The RGC is fully committed to the principle of honesty, integrity and fair play in the conduct of its business. To uphold public trust and protect public interest, it is important for all nominees and supporting universities to note and observe the “RGC Code of Conduct” available at https://www.ugc.edu.hk/eng/rgc/guidelines/code_of_conduct.html. Nominees and supporting universities **are prohibited to communicate with the RGC Members and Selection Panel Members on the nominations** submitted with a view to influencing the latter in assessing their nominations. **Should such act be discovered, the nominations concerned will be disqualified and the nominees will be subject to disciplinary action.**
- (m) Unless otherwise stated, all funding levels stated in the nomination form are in Hong Kong Dollars.

INFORMATION UPDATE

- (a) A brief update of the proposal, if any, should be submitted to the RGC on or before 15 April 2020, indicating any significant changes, e.g. changes in the eligibility of the nominee, nominee’s CV, research funding secured, grant records, etc. It should be emphasised that such update should be confined to the above-said changes, and the nominee and supporting university should not use the opportunity to revise their proposal(s) substantially.
- (b) If an update is provided for ethics / safety approval for the nomination, the nominee and supporting university should submit the relevant updated data to the RGC on or before 15 April 2020. Submission of letters on ethics / safety approval is however not required at this stage, but such letters, if necessary, may need to be provided upon RGC’s request.
- (c) If an update is provided for approval for access to Government / official / private data and records for the nomination, the nominee and supporting university should submit the relevant updated data to the RGC on or before 15 April 2020. Evidence of approval should also be submitted at this stage.
- (d) If an update is provided on any related research work that is being / has been conducted in relation to the proposal, the nominee and supporting university should submit the relevant updated data to the RGC on or before 15 April 2020.

ENQUIRIES

- (a) Enquiries about the contents of these Explanatory Notes and other related matters about the RFS / SRFS should be directed to the Research Offices of the universities which, if in doubt, should consult the UGC Secretariat (via email to RFS@ugc.edu.hk) for clarification. Also, correspondence regarding RFS / SRFS matters including enquiries, appeals and complaints should be made through the Research Offices of the universities.
- (b) The guidelines on handling the information and personal data contained in RFS / SRFS nominations are set out at Annex B.

PART I PARTICULARS OF THE NOMINEE

1. Basic Information

To ensure record accuracy and to facilitate identification of the nominee, his / her name on the Hong Kong Identity Card / Passport (where applicable) should be used and entered in the standard RGC format:

	Surname (in capital letters)	Other Name*
e.g.	CHAN	Peter Tai-wai
e.g.	ZHONG	Yaping
e.g.	ROBINSON	Philip

* First / given name, then Chinese name in English syllables (hyphenated) / middle name, if any; initials should be avoided.

With a view to establishing the researcher database in Hong Kong, the nominee is required to provide his / her Open Researcher and Contributor ID Identifier (ORCID iD) in Part I. ORCID iD can be registered for free at <https://orcid.org>.

2. Current Employment

The nominee must fulfill the eligibility requirements for RFS or SRFS candidates as set out in the *Operation Guide for the RGC Research Fellow Scheme and RGC Senior Research Fellow Scheme*.

There is no eligibility requirement for the collaborator(s) of the research project.

3. Curriculum Vitae (CV)

The author list of the publications in the nominee's CV should be presented in full and

cited exactly as written in the original publication. In particular, the nominee should indicate clearly his / her position especially in the long author list, say author 13 out of 40 for facilitating panel's consideration.

PART II RESEARCH PROPOSAL

1. Particulars of the Project

- (a) The project title should be informative, but short and concise.
- (b) The nominee should confirm his / her research field area(s) and code(s), lists of which are provided in Annex A. To facilitate the appointment of the right experts to evaluate the proposal, the nominee should select a specific primary field area as far as possible. If the nominee selects a non-specific primary field area, i.e. Others, for his / her proposal, he / she must select a specific secondary field area close to the field area of the proposal.
- (c) A short abstract of a maximum of one A4 page comprehensible to a non-specialist should be provided. This should be informative and indicative of the nature of the research to be conducted. If the nomination is successful and the proposal is funded, the "Abstract of Research" (Abstract) will be posted on the RGC website for public's information. The nominee may be approached for a Chinese version of the Abstract for public access shortly after the announcement of the funding results, or an English version if the original Abstract is presented in Chinese.

2. Research Details

Research details constitute the major portion of the research proposal. They should be presented clearly and concisely as well as be detailed enough to indicate the significance and merits of the proposed research and to permit a meaningful evaluation of the worthiness of the project. The RGC will not further process the nomination if insufficient / incomplete information is provided.

- (a) Project Objectives and Pathways to Impact Statement: The objectives of the project must be presented in point form. Reasons for undertaking the project shall be provided. Nominees are required to identify the key issues and problems being addressed. The key issues and the elements of the problem should be described and those elements which are critical to the solution of the problem should be clearly identified. Nominees are required to state the possible outcome of the research project, its relevance, significance and value, such as contribution to academic, educational, scientific or professional development or potential for practical application. On proposals concerning Creative Arts, nominees should ensure that proposals submitted to the RGC should contain research elements which contribute to academic attainments.

(ii) A Pathways to Impact Statement should address the following:

- Who are the potential beneficiaries of the proposed research in the short (1-3 years), medium (4-10 years) and long term (over 10 years)?
- How will the potential beneficiaries benefit? What will be the objective demonstrable / measurable benefits beyond academia?
- What will be done during and / or after the project to increase the likelihood of achieving the identified benefit and reaching the identified beneficiaries?

(b) Background of Research, Research Plan and Methodology:

- (i) State whether work has been / is being carried out by you and / or others on a related subject. Outline previous and alternative approaches to the problem and their deficiencies, list key references to relevant research by you and others. For continuation of previous projects, the progress made and results achieved during the previous years should be clearly summarised. The summary should be sufficiently detailed to allow an evaluation of the worthiness of the project for continuation of support. For new projects, the reasons for investigation and the relevant findings should be clearly demonstrated.
- (ii) A complete description of the research plan, the selected approach to the problem solution and a Gantt chart showing the research activities should be given. Where appropriate, experiments, tests and required facilities should be described. The relevant scientific principles and techniques on which the problem solution depends should also be presented. Outline uniqueness and justification of the proposed approach with its plan of investigation, giving citation from literature where applicable. All Biology & Medicine proposals should include appropriate sample size and power estimates. For proposals to involve clinical trial, a protocol should be submitted in a separate pdf file as an addendum.

The page limit for Background of Research, Research Plan and Methodology does not include references. All references should be provided in full and include all authors. Generally accepted citation format (e.g. American Psychological Association (APA) format) should be used.

(c) Work Plan: Please outline your timetable for the research project, your proposed project period and indicate the work to be undertaken during the fellowship.

- (d) Nominees are required to list the name of journal, conference or other dissemination means, e.g. book chapter, for dissemination of research output and the target timing of dissemination, e.g. 3Q / 2022.
- (e) All nominees must indicate with caution the nature of the research proposal being submitted. “New” refers to a proposal on research topic which the nominee submits for RGC funds for the first time. “Continuation” refers to a proposal continuing the research project work previously funded by the UGC / RGC. “Re-submission” refers to a proposal on research topic which the nominee has previously submitted or largely similar to a proposal that has been submitted to but NOT supported by the UGC / RGC or other funding agencies.
- (i) If the research proposal is a “Continuation”, the nominee should provide information of this previous project as requested on the nomination form.
- (ii) If the research proposal is a “Re-submission”, the nominee should provide details of the previous proposal. It is the responsibility of the nominee to declare clearly and honestly whether his / her proposal is a re-submission.
- (iii) The nominee should re-visit the main concerns / suggestions previously expressed by external reviewers if an earlier / similar version of the proposal has been assessed before.
- (f) Plan(s) for Collaboration: Please give details of the plan(s) of collaboration in a proposal involving more than one investigator, and describe clearly the role and specific task(s) of each individual (including the nominee and the collaborator(s)) in the proposed research. It is not required to provide CV(s) of collaborator(s), letters of collaboration and related supporting documents of the 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

Please refer to the first page of these Explanatory Notes for the amount of fellowship grant to be received by the supporting university for each RFS / SRFS awardee.

1. Cost and Justification

- (a) Supporting universities are expected to provide necessary infrastructural and overhead supports such as normal academic equipment, consumables, postage,

fax, stationery and overseas telephone charges to funded projects under the RFS / SRFS fellowship.

Permissible items: A detailed budget for the project throughout the project period should be given. The nominee and collaborator(s) are not regarded as supporting staff and their salaries must not be paid from the fellowship grant. Academic staff remunerated by the UGC-funded universities in Hong Kong must not be paid with honorarium or other form of payments.

The estimated costs should not include any 'hidden' costs covered by recurrent block grant expenditure, such as the normal salaries of teaching staff who spend a portion of their time on research, cost of utilities, stationery, etc. They should include only expenditure directly related to the proposed project, which would not otherwise be separately incurred. Examples of these are: salaries of Research Assistants (RAs) specifically employed for this project; salary of relief teacher; purchase of equipment necessary for the investigation but not available in the university(ies), expenses of dissemination of research deliverables, etc.

In cases where a particular Research Assistant is employed for several projects, his / her salary should be apportioned accordingly.

Fellowship grants awarded under RFS / SRFS should be used in undertaking research work in Hong Kong by the awardees (and their teams) in order to train and groom research talent in Hong Kong. For subcontracting services and / or research work to be conducted outside Hong Kong, the nominees are required to provide adequate justifications in the proposal or required to submit a request to the RGC for approval if it is not included in the approved proposal.

Detailed justification and / or quotations should be provided where applicable.

(A) One-line Vote Items

- (i) Supporting Staff Costs: Please state the number, rank, cost and duties of supporting staff involved and the justification. The RGC normally supports research support staff at the Research Assistant (RA) level. Additional justification is required if staff above the RA level are requested. In the case of a project proposal involving funding for Post-doctoral Fellows, the CV of the post-doc in one A4 page should be attached if available.
- (ii) Equipment Expenses: RGC fund must not be used to purchase personal electronic devices such as cell phones, tablet computers (e.g. iPad), iPod, MP3 Players, digital cameras and personal digital assistants (PDAs) except with sound justification as approved by the RGC. In addition, the RGC will not provide funding for the

purchase or use of standard equipment such as desktop PCs, servers, laptop computers, printers and scanners known to be available, or reasonably expected to be provided in the universities concerned. Universities may be required by the RGC to confirm the availability of university's resources prior to their acceptance of an award. This is what the RGC means by "university's commitment".

For justification for equipment purchase, the following points should be addressed:

- Is the equipment essential to the project?
- Has the department / university already provided such equipment?
- Is there similar equipment elsewhere in other universities and what is the possibility of sharing?
- Provide information in supporting the estimated cost of equipment e.g. quotes from suppliers. Items costing over HK\$200,000 and without supporting quotations will NOT be considered. Up to two A4 pages can be attached, if necessary.

For purchase of equipment **at or over HK\$2.5 million**, the following supplementary information is required:

- Has the university already been provided with similar equipment? If yes, please explain the need for the purchase.
- Is there similar equipment elsewhere in other universities? If yes, please provide the following information regarding such equipment in other universities as far as possible -
 - ▶ brand / model details and the year of purchase of the equipment;
 - ▶ the number of hours of its utilisation and percentage of utilisation (say per month or per year as appropriate);
 - ▶ the estimated number of hours (say per month or per year as appropriate) available for use by other universities per year;
 - ▶ whether and how it can perform more / less functions and capabilities than the equipment under the project;
 - ▶ whether there is a practice of shared use of the equipment with other universities currently and in the past two years; and
 - ▶ any other reasons that preclude the shared use of the equipment with other universities.

- Level of use: please provide the estimated numbers of staff members and / or students expected to use the equipment under the project and the estimated number of hours per annum of utilisation.
 - Will the equipment be available for use by universities other than the collaborating universities under the project? If yes, please state the extent of shared use by other universities such as the number of hours available for sharing per week.
- (iii) Costs for Employment of Relief Teacher(s): Nominees are encouraged to request for funding support for the employment of relief teacher(s). Please state the rank of the relief teacher(s), the months and costs involved. Relief teachers engaged for this purpose are meant to relieve the awardees of their day-to-day teaching loads and administrative burden related to teaching work.

The actual duration of teaching relief, actual use/expenditure of teaching relief, and actual relief of administrative duties are subject to mutual agreement between the awardee and the supporting university. If a relief teacher is required, the CV of the teacher in one A4 page should be attached, if available, for consideration by the RGC. The relief teacher appointment is also not supposed to take up non-teaching related duties, such as purely administrative work, of the nominee.

It is not necessary to find a relief teacher with equivalent salary, status and experience as the nominee concerned. Nevertheless, the supporting universities are requested to confirm that the salaries for the relief teacher(s) proposed by the nominees do not exceed the salary of Staff Grade 'G' (i.e. Lecturer (U)) of the supporting universities, while making reference to the level and amount of workload expected and justify them on the nomination form.

Please also state the nominee's current average teaching load (total number of courses to be taught per academic year). The supporting university is requested to confirm that the nominee's declared teaching load has been verified correct.

- (iv) Outsourcing Expenses of Research Work Outside Hong Kong: Fellowship grants awarded by the RGC should primarily be used in undertaking research work in Hong Kong by the awardees (and their teams) in order to train and groom research talent in Hong Kong. It will be legitimate for the awardees to sub-contract out a small part of the research work (regardless of geographic locations) only if:

- The proposed activity is a necessary and justified part of the research and is outlined in the proposal for approval;
- The nominees should have identified and possessed a high level of research expertise in their teams when they submit research proposals to the RGC. The activity to be sub-contracted out, for instance, data collection work, should not be the main intellectual focus of the research project;
- The persons / organisations providing the sub-contracting services should be at arm's length with the nominees or the supporting universities (for instance, employees, friends, relatives, subsidiary companies etc. should be avoided) and the procurement should be done in accordance with the supporting university's procedures and guidelines; and
- The nominees (or their team members) should be involved in monitoring the sub-contracting services or the supervision of the subcontracting services.

For subcontracting services or research work to be conducted outside Hong Kong, the nominees have to justify in their proposals to the Selection Panel for approval. The corresponding Selection Panel will evaluate the merits and justification of the case according to the conditions specified above. For services / work over HK\$200,000, price quotations must be provided. Nominees should provide detailed justification of sample sizes and costs for surveys conducted outside Hong Kong.

- (v) General Expenses: The “General Expenses” item is a catch-all category for costs which cannot be included in any of the other items. Outsourcing services other than those specified in (iv) above should be included under general expenses. For services / purchase over HK\$200,000, price quotations must be provided. Nominees should provide detailed justification of sample sizes and costs for surveys conducted in Hong Kong.
- (vi) Conference Expenses: The RGC encourages researchers to present their work internationally and to exchange information with others in their particular research areas. A provision of up to HK\$20,000 per year, irrespective of the number of researcher(s) (including collaborator(s)) involved in the project, is normally allowed for each funded project under the fellowship. The fellowship grant can support economy class roundtrip air passage by the most direct route, hotel accommodation, and subsistence allowance.

The RGC's, ICAC's and the university procurement procedures and

guidelines, whichever is more stringent, should be followed.

- (vii) Travel (for non-conference research-related trip(s)): Please state the number of non-conference research-related trips required and the cost per trip (including air passage, other transportation and hotel accommodation) during the fellowship period.
- (viii) Subsistence (for non-conference research-related trip(s)): Please state the amount of subsistence required during the fellowship period. The ceiling of \$900 per day should not be exceeded.
- (ix) Expenses for Dissemination of Research Deliverables: The RGC encourages researchers to publish their work in different journals / publications. For displaying / demonstrating the outputs by other means, please justify the values and appropriateness of the output.

(B) Earmarked Items

- (x) High-performance Computing Services Expenses: A provision of up to HK\$100,000 will be allowed for the subscription of high-performance computing services for each funded project. Price quotation should be provided.
- (xi) Research-related Software License / Dataset: For requests for purchase / subscription of database(s), price quotations should be provided. The supporting university should not use the fellowship grant to purchase standard software licenses / dataset.

(b), (d) and (e) Please confirm whether or not the requested equipment / high-performance computing services / research-related software / licence / dataset is available in the supporting university. If yes, please explain why such equipment / high-performance computing services / software cannot be used by the nominee.

3. Funds Secured or To Be Secured

Other sources of funds can include private donations, awards or grants from other organisations, contract research funds from commercial enterprises, or special allocations made by the university from the block grant or the indicated grant for equipment, etc. 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. The RGC has the sole discretion in deciding the final funding.

PART IV DECLARATION OF RELATED PROPOSALS, GRANT AND FELLOWSHIP RECORD

- (a) – (b) It is the responsibility of the nominee to ensure that no duplicate funding from all sources including the RGC will be sought / has been sought for the same / substantially similar research project. Failure to declare similar / related projects / proposals (irrespective of whether submitted to / funded by UGC / RGC and not limited to those in the past five years) in this section may result in disqualification of the nomination and debarring from applying for future UGC / RGC grants. The nominee is required to declare any related research work that is being / has been conducted in relation to the proposal, and provide clarifications which distinguish that related research work from the work requested to be funded through this proposal.

It is the RGC to make the final decision on whether two proposals / projects / research work are similar. The judgment of the RGC is final. Therefore, it is always advisable for the nominee to declare related research work when there is uncertainty. The nominee is advised to make the declaration and elaborate the difference in the proposals / projects to avoid misunderstanding. Declaration of related proposals / projects / research work does not necessarily mean that the proposals concerned will be adversely affected. The RGC may still fund the proposals concerned if the nominee is able to justify the differences of the proposals / projects / research work for separate funding.

- (b) 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. It is the responsibility of the nominee to ensure that he / she will not hold concurrent fellowship awarded by the UGC / RGC or other funding agencies during the RFS / SRFS fellowship period.

PART V ANCILLARY INFORMATION

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

- (a) Research ethics / safety approval:
It is the responsibility of the supporting university and the nominee to ensure that the research proposal is carefully reviewed for its compliance with applicable laws, health and safety guidelines and ethical standards. Ethics clearance should be sought for research involving living animals and / or human subjects including social sciences research involving human subjects (e.g. potential physical or psychological harms, discomfort or stress to human participants that a research project might generate, subjects' privacy etc.). The primary responsibility of seeking the relevant approval and ethics clearance

rests with the nominee. The supporting university is required to complete and sign Part VI of this nomination form to confirm whether the research proposal involves human subjects and certify whether the relevant approval is required and if required, the relevant approval has been given / is being sought. For research involving clinical trials, the nominee is allowed to obtain relevant ethics approval before the release of funding and project commencement.

- (b) Access to Government / official / private data and records: It is the responsibility of the university and the nominee to ensure that approval has been sought for access to Government / official / private data and records if the related data / records are critical to the research proposal. The primary responsibility of seeking the relevant approval rests with the nominee. The supporting university is required to complete and sign Part VI of this nomination form to confirm the relevant approval, if necessary, has been given / is being sought.

For both (a) and (b) with the exception of research involving clinical trials, nominations should not be submitted unless the approval of the appropriate agency(ies) has / have been or is / are being sought. The RGC will regard a nomination as being withdrawn if no confirmation of approval is provided to the RGC by 15 April 2020.

If the supporting university / nominee has declared that no approval will be required but the RGC / Panel eventually considers otherwise, the related nomination may be disqualified.

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

- (b) Release of completion report: Awardees are required to release the completion reports (containing abstract in non-technical terms, objectives, research output including the list of conference papers / publications / journals and research findings and contact information of the awardee) to the public through the RGC website. The awardees should assess data archive potential and opportunities for data sharing. Due additional weight will be given to a nomination where the nominee is willing to make research data available to others.

Awardees are required to include in the project completion reports the URL links to the institutional repositories or the publishers' websites so that the public could have quick and easy access to the manuscripts or journal articles. Awardees are also encouraged to include in their research completion reports the data repositories where research data of their projects could be accessed and shared, where appropriate.

Public access of publications resulting from research funded by the RGC:

- (i) Upon acceptance of a paper for publication, the awardee should check

whether the publisher already allows (A) full open access to the publisher's version, or (B) the author's 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, the awardee should request the publisher to allow him / her to place either version in his / her 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, the nominee should deposit a copy of the publication in his / her 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)

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. The technology transfer plan should include information such as:

- Activities to be undertaken to:
 - ▶ disseminate the R&D deliverables;
 - ▶ realise the application of the R&D deliverables in the public sector, i.e. the R&D deliverables being used in government departments, public bodies, trade associations, charitable organisations, etc.; and / or
 - ▶ market the R&D deliverables in the commercial world, e.g. target markets and customers.

- Potential industry partners for technology transfer / manufacturing. If possible, please provide information in relation to the future positioning of the product / technology in the market.
- Associated / complementary technology development projects which may synergise with this project for technology transfer. In this case, please give some brief information of such project(s).
- Future plans to apply for ITF to support the applied research component of the proposed project.

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

1. University Recommendation

The supporting university should confirm its recommendation of the nominee for which fellowship (RFS / SRFS) and which selection panel the nomination to be assessed.

2. University Endorsement

The supporting university should confirm that it has evaluated and verified the eligibility of the nominee and the requirements for the fellowship, such that it has given support to the nomination before submission to the RGC. For Academic Staff Grades adopted by UGC / RGC, please refer to Annex C.

3. University Commitment

The supporting university is required to verify and confirm whether the nomination is in line with its role, and that adequate supervision, research facilities and training provisions are in place to meet the need of RPg students so employed under the fellowship grant if the nomination is supported by the RGC. Nevertheless, it should be also made clear that the primary duty of the awardee of the fellowship grant is to complete the project according to plan and that the training of RPg students should not be used to justify any delay of project completion nor unsatisfactory project performance.

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

- (a) The supporting university should confirm that the approval of the appropriate authority(ies) has / have been or is / are being obtained in respect of projects involving safety hazards or the use of living animal or human subjects, including those in social sciences research (e.g. potential physical or psychological harm, discomfort or stress to human subjects in a research project, subjects' privacy, etc.). It should be noted that all nominations must be vetted by the universities to ascertain if they involve human subjects. For nominations involving clinical trials, nominees are allowed to obtain relevant ethics approval before the release of funding and project commencement. For other non-clinical nominations involving human subjects, the universities must give approval / exemption according to their internal ethics guidelines by 15 April 2020 as is the case with other ethics / safety approval. If the supporting university is unable to confirm by 15 April 2020 that the required approval has been obtained, the RGC will stop processing the nomination which will be regarded as to have been withdrawn.

- (b) The supporting university should confirm that the approval of the appropriate authority(ies) has / have been or is / are being obtained in respect of access to data/records critical to the proposed research. If the supporting university is unable to confirm by 15 April 2020 that the required approval has been obtained, the RGC will stop processing the nomination which will be regarded as to have been withdrawn.
- (c) For (a) and (b) above, if the supporting university / nominee has declared that no approval will be required but the RGC / Panel eventually considers otherwise, the related nomination may be disqualified.

Part VI should be completed and submitted by the appropriate administrative authority or responsible person(s) in the supporting university.

UGC Secretariat
September 2019

**List of Research Field Areas and Codes for
Science, Technology, Engineering and Mathematics**

Biological Sciences

(Subject Area: M1)

<u>Field Area</u>	<u>Code</u>
Behaviour and Psychology	1101
Biochemistry	1102
Cell Biology	1103
Developmental Biology	1104
Ecology	1105
Environmental Research	1106
Food Science	1107
Gene Regulation	1108
Genomic Biology	1109
Growth & Development	1110
Marine Biology	1111
Microbiology	1112
Molecular Biology	1113
Morphology and Anatomy	1114
Physiology	1115
Signal Transduction	1116
Structural Biology	1117
Traditional Chinese Medicine (basic)	1119
Ageing	1120
Biodiversity and Systematics	1121
Bioinformatics, Systems and Synthetic Biology	1122
Biological Imaging	1123
Brain Pain Learning and Memory	1124
Comparative Endocrinology	1125
Comparative Immunology	1126
Fish Biology	1127
Genetics	1128
Neuroscience	1129
Plant Sciences / Plant Biology	1130
Stem Cell Biology	1131
Virology	1132
Others (please specify)	1199

Medicine, Dentistry & Health

(Subject Area: M2)

<u>Field Area</u>	<u>Code</u>
Allergy / Immunology	1201
Anaesthesia	1202
Blood / Hematology	1203
Cancer	1204
Cardiovascular Research	1205
Clinical Trials	1206
Connective Tissues	1207
Dentistry	1208
Diabetes / Metabolism	1209
Endocrinology	1210
Epidemiology	1211
Gastroenterology / Hepatobiliary	1212
Genetic Disease	1213
Geriatrics / Gerontology	1214
Health Services	1215
Hearing	1216
Imaging	1217
Infection / Parasitology	1218
Neonatology	1219
Nephrology / Urology	1220
Nursing	1222
Nutrition	1223
Orthopaedics / Traumatology	1224
Paediatrics	1225
Pathology	1226
Pharmacology / Toxicology	1227
Population Health	1228
Psychosocial & Behavioural Research	1229
Reproduction	1231
Respiration	1232
Rheumatology	1233
Surgical Research	1234
Transplantation	1235
Vision	1236
Chinese Medicine (clinical)	1237
Proteomics	1238
Regenerative Medicine	1239
Molecular Diagnostics	1240

Medicine, Dentistry & Health (Cont'd)
(Subject Area: M2)

<u>Field Area</u>	<u>Code</u>
Biomedical Engineering	1241
Biomaterials	1242
Clinical Microbiology	1243
Clinical Virology	1244
Disease Model Development	1245
Drug Discovery and Delivery	1246
Drug Pharmacokinetics and Pharmacodynamics	1247
Genomic Medicine	1248
Genomics	1249
Human Genetics / Clinical Genetics	1250
Neurobiology and Neuromedicine	1251
Personalised Medicine	1252
Rehabilitative and Physical Medicine	1254
Stem Cell Therapy	1256
Others (please specify)	1299

Civil Engineering, Surveying, Building & Construction
(Subject Area: E1)

<u>Field Area</u>	<u>Code</u>
Building & Construction	2101
Environmental	2102
Geotechnical	2103
Structure	2104
Surveying	2105
Water	2106
Transportation	2107
Urban Development	2108
Others (please specify)	2199

Computing Science & Information Technology

(Subject Area: E2)

<u>Field Area</u>	<u>Code</u>
Computer Science Fundamentals	2202
Computing Hardware	2203
Network	2205
Software	2206
Speech & Language	2207
Vision	2208
Bioinformatics	2209
Visualisation & Graphics	2210
Information Analytics	2211
Data Mining	2212
Artificial Intelligence and Machine Learning	2213
Database and data science	2214
Others (please specify)	2299

Electrical & Electronic Engineering

(Subject Area: E3)

<u>Field Area</u>	<u>Code</u>
Communication	2301
Electronics	2302
Photonics	2303
Signal & Image Processing	2305
Bioelectronics	2306
Power Electronics	2307
Power System	2308
Microwave and Terahertz Engineering	2309
Others (please specify)	2399

Mechanical, Production & Industrial Engineering

(Subject Area: E4)

<u>Field Area</u>	<u>Code</u>
Design	2401
Engineering Management	2402
Fluid	2403
Marine Engineering	2404
Materials	2405
Mechanics & Dynamics	2406
Operations Research	2407

Mechanical, Production & Industrial Engineering

(Cont'd) (Subject Area: E4)

<u>Field Area</u>	<u>Code</u>
Production & Manufacturing	2408
Robotics & Automation	2409
Textile	2410
Thermal	2411
Biomechanics	2412
Fuel Engineering	2413
Others (please specify)	2499

Chemical Engineering

(Subject Area: P1)

<u>Field Area</u>	<u>Code</u>
Chemical Engineering	3101
Biophysics	3102
Energy	3103
Environmental Sciences	3104
Biochemical Engineering	3105
Food Science and Technology	3106
Others (please specify)	3199

Physical Sciences

(Subject Area: P2)

<u>Field Area</u>	<u>Code</u>
Chemical Sciences	3201
Earth Sciences	3202
Materials Sciences	3204
Physics	3205
Planetary Sciences	3206
Physical Geography	3207
Scattering Methods	3208
Nanomaterials	3209
Nanocomposites	3210
Mass Spectrometry	3211
Environmental Studies and Science	3212
Others (please specify)	3299

Mathematics

(Subject Area: P3)

<u>Field Area</u>	<u>Code</u>
Applied Mathematics	3301
Pure Mathematics	3302
Probability & Statistics	3303
Mathematical Finance and Insurance	3304
Others (please specify)	3399

**List of Research Field Areas and Codes
for Humanities, Social Sciences and Business Studies**

Psychology and Linguistics

(Subject Area: H1)

<u>Field Area</u>	<u>Code</u>
Psychology	4104
Linguistics and Languages	4108
Psycholinguistics	4109
Cognitive Neuroscience of Language	4110
Language Development, Second Language Acquisition, Audiology	4123
Sociolinguistics and Discourse Analysis	4124
Criminology	4125
Others – relating to Psychology and Linguistics (please specify)	4196

Social and Behavioural Sciences

(Subject Area: H2)

<u>Field Area</u>	<u>Code</u>
Anthropology	4101
Public Administration & Political Science	4105
Sociology	4106
Architecture	4401
Law	4402
Nursing	4408
Public Health	4409
Social Work	4410
Social Services / Management	4411
Urban Studies and Planning	4412
Visual Design (including advertising, graphic, visual communication, digital media)	4414
Product Design (including fashion, industrial, product)	4415
Environmental Design (including interior design, space design)	4416

Social and Behavioural Sciences

(Cont'd) (Subject Area: H2)

<u>Field Area</u>	<u>Code</u>
Archaeology	4417
Human Geography	4418
Social Policy	4419
Others – relating to Social and Behavioural Sciences (please specify)	4195

Humanities and Arts

(Subject Area: H3)

<u>Field Area</u>	<u>Code</u>
Media and Communication	4151
Literature	4204
Creative Arts: Dance	4207
Creative Arts: Dramatic Arts	4208
Creative Arts: Music	4209
Creative Arts: Visual Arts (including Drawing, Painting, Sculpture, Film and Photography)	4210
Creative Arts: Writing	4211
Film, Visual and Media Studies	4221
History	4213
History of Arts	4214
Musciology / Music History	4215
Translation Studies	4216
Cultural Studies / Cultural Policy	4222
Philosophy	4218
Religious Studies	4219
Sexuality and Gender Studies	4220
Journalism and Media	4407
Contemporary Art	4420
Area Studies (including Japanese Studies, China Studies, European Studies)	4421
Chinese History (including Socio-economic, Military, Legal Social and Cultural History)	4422
Classical Chinese, Chinese Thought and Paleography	4423
Hong Kong Studies	4424
Others – relating to Humanities and Arts (please specify)	4299

Education

(Subject Area: H4)

<u>Field Area</u>	<u>Code</u>
Education: Policy & Administration	4301
Education: Research on Teaching & Learning	4302
Education: Language and Literature	4303
Education: Theory and Applications	4304
Others – relating to Education (please specify)	4399

Business Studies

(Subject Area: B)

<u>Field Area</u>	<u>Code</u>
Accounting	5101
Economics	5102
Finance	5103
Information System Management	5104
Management	5105
Marketing	5106
Operational Research	5107
Operations Management	5108
International Business	5109
Tourism and Hotel Management	5110
Econometrics and Business Statistical Methods	5111
Risk and insurance management	5112
Others (please specify)	5199

Handling of Information and Personal Data
Contained in RFS / SRFS Nominations

Purpose of Collection of Information and Personal Data

1. Information and personal data contained in the RFS / SRFS nomination are collected for the following purposes:
 - (a) determination of the eligibility of nominee concerned for the award of RFS / SRFS fellowship;
 - (b) assessment of the merits of the research proposal / plan submitted;
 - (c) assisting the selection panel concerned in identifying external reviewers to assess the research proposal concerned;
 - (d) compilation of periodic reports and statistical returns for analysis and research by the RGC / UGC in relation to the use of public funds;
 - (e) sharing of data with other government departments / research funding agencies for the avoidance of duplicate funding; and
 - (f) for successful nominations, such data may be used for project monitoring, promotion, publicity and may also be published on the RGC website.

Handling of Information and Personal Data

2. The nomination including personal data will be handled with care by the RGC. Staff of the UGC Secretariat, members of the RGC and RGC panels, local and non-local reviewers, and other parties who may be involved in the processes described in Paragraph 1 above will be allowed access to the data on a need-to-know basis but they will be placed under a duty of confidentiality to the RGC. Information so collected by the RGC will not be used for any other purposes. If the nominee wants to exclude any individuals from access to the submitted information, please inform the RGC separately at the juncture of submission of nomination.

Physical Retention of Nominations

3. Nominations that are funded by the RGC will be retained at the UGC Secretariat for periodic review of progress and final assessment of the research investigation and outcome.

Right of Access to Personal Data

4. Notwithstanding the arrangement described above, nothing in this note will affect the legal right of nominee concerned to request access to personal data held by the RGC about his / her nomination and to update or correct such data. Nevertheless, the RGC reserves the right to charge a reasonable fee for the processing of any such request(s) in accordance with the prevailing Government regulations.

Academic Staff Grades

Academic, Senior

- A. Professor
- B. Reader
- C. Senior Lecturer (U)
- D. Principal Lecturer (P)

Academic, Junior

- F. Senior Lecturer (P)
- G. Lecturer (U)
- H. Lecturer (P)
- I. Assistant Lecturer