

RESEARCH GRANTS COUNCIL

RESEARCH IMPACT FUND 2018/19

Explanatory Notes (RIF2) for completing the Application Form

All applicants should read these Explanatory Notes carefully before completing and submitting your applications. The Research Grants Council (RGC) may stop processing your application if it does not comply with any of the requirements as set out in the Explanatory Notes.

General

2. These Notes are intended to be read by applicant(s)/related staff of university(ies)/partner(s) before completion and submission of a Research Impact Fund (RIF) application.

3. The preliminary proposal application form has two parts, Part I : Research Proposal and Part II : University's Endorsement.

4. For applications which have genuine special needs to be completed in a language other than English, applicant(s)/university(ies) is(are) required to provide an English version for sections 2-8 in pdf format.

5. In order to ensure consistency and fairness to all applicants, applicants must complete the applications, **including attached pdf documents**, in the following standard RGC format. **Failure to comply with the standard RGC format may lead to disqualification of their applications.**

Font : Times New Roman
Font Size : 12 points
Margin : 2.5 cm all round
Spacing : Single-line spacing

6. All sections of the relevant parts should be completed. Where information sought is not applicable or not provided under a particular section, insert "NA" or "Nil" respectively.

7. When preliminary proposals are submitted through the Electronic System, an RGC project reference number will be automatically generated for each of the proposals for identification purpose. The project reference number should be quoted in all future correspondence with the RGC.

8. It is the obligation of the Project Coordinators (PCs) to ensure that their respective applications 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 the disqualification of an application.

9. Applicants are not allowed to mention anything not related to the research proposal per se in the application form (such as describing the funding rules) with a view to communicating to the reviewers that the latter should give a certain rating if they intend to support the projects. Should such act be discovered, the applications concerned will be disqualified.

10. Applicants are prohibited to communicate with RGC and Panel Members on the applications submitted with a view to influencing the latter in assessing their applications. Should such act be discovered, the applications concerned will be disqualified.

11. All applicants must indicate clearly the nature of the application being submitted. “New” refers to the application on research topic which the PC and/or Co-PI(s) applies / apply for RGC funds for the first time. “Re-submission” refers to the application on research topic which the PC and/or Co-PI(s) have previously applied for RGC funds but was not supported. “Continuation” refers to the application continuing the work previously funded by the RGC.

12. Unless otherwise stated, all funding amounts stated in the application form should refer to Hong Kong Dollars.

Objectives

13. RIF has the following objectives:

- (a) To encourage the local academics to consider and articulate the potential of research to deliver benefit for the wider community; and to encourage more impactful and translational research projects.
- (b) To encourage a greater volume of collaborative research beyond academia (e.g. organisations such as government departments, business sector, industry and research institutes).

Features

14. RIF is operated with the following features:

- (a) Two-stage application i.e. preliminary proposal and full proposal. RGC will assess preliminary proposals and invite shortlisted candidates to submit

full proposals. Full proposals will then be assessed and RGC will further shortlist candidates for presentation and interview.

- (b) Proposals from all disciplines are welcome. Priority will be given to proposals that build upon previous work (e.g. projects awarded with funding in previous RGC/non-RGC grants, projects arising from established research with potential pathways for realising impact, projects with a recognised track record of research achievements), or proposals involving multiple disciplines or are problem-based (e.g. to address specified social problems).
- (c) Applicants are required to submit a Pathways to Impact statement with both preliminary and full proposals to demonstrate how impact is to be pursued. Applicants may refine the statement at full proposal stage. This is intended to show that the applicants have thought hard about how to secure impact beyond academia, what they propose to do, how they propose to start gathering evidence on impact from the outset, and so on. It is also intended to create a culture of actively thinking about impact as a normal part of research activity – and to do so across the full range of academic research, while accepting that the nature of impact will vary widely across disciplines.
- (d) Applicants may submit supporting statements from potential users of the research, who may be prepared to co-invest or engage in some way in collaborative activity with the applicant.
- (e) Applicants are required to submit a knowledge and technology transfer plan. To reduce the workload of academics, the plan only needs to be submitted at full proposal stage. The plan will be passed to the Innovation and Technology Commission or relevant parties for reference and will not be assessed.
- (f) Project duration should range from three to five years.

Eligibility

15. The eligibility of Project Coordinator (PC) is the same as General Research Fund (GRF). Please refer to the GRF Explanatory Notes for the eligibility requirements at <http://www.ugc.edu.hk/doc/eng/rgc/form/GRF2.pdf>.

16. There is no restriction on the Co-Principal Investigators (Co-PI) who may come from other institutions, the industry or non-governmental organisations. However, only those persons who will genuinely involve in research activities should serve as Co-PI.

17. Each application should be submitted with only one applicant nominated as the PC and no applicant should submit more than one application under RIF in this capacity. Nevertheless, the PC can apply for one GRF, one Collaborative Research Fund and one RIF as Principal Investigator (PI)/PC simultaneously. It is the responsibility of applicants to ensure that no duplicate funding from any other sources will be sought for the same/similar research project. Once it is known that a proposal has been awarded funding from other sources, the PI/PC should decide whether he/she will decline the funding from other sources or withdraw his/her application under RIF.

Budget Thresholds and Project Finance

18. The amount requested from the RGC should range from \$3 million to \$10 million. The project grant does not cover on-cost.

19. Mandatory matching funds are required from UGC-funded universities/partner(s) for approved projects on a 70% (RGC)/30% (university/partner(s)) basis. Partners' contribution may come from industry, non-governmental organisations, stakeholders or private donation. It is not essential for partners to provide matching funding. Universities may instead undertake to provide the matching funding up to 30%.

20. Having regard to the matching requirement, the total amount of grant per project after matching should therefore be from \$4.3 million to \$14.3 million. Projects costing more than \$14.3 million could still be considered but the amount of funding to be awarded by the RGC would be capped at \$10 million per project.

21. The funding approved will be released to the coordinating university by two instalments. The first instalment of 50% will be released before the start of the project. The second instalment will be released subject to satisfactory progress as reported in the progress report.

22. Audited accounts should be provided upon project completion. RIF proposal may include purchase of equipment. There must be a research proposal with well explained methodology and a Pathways to Impact statement. Equipment only proposals should be submitted under the Collaborative Research Fund. Teaching relief is not provided.

Pathways to Impact Statement

23. A Pathways to Impact statement should cover:

- (a) 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)?
- (b) How will the potential beneficiaries benefit? What will be the objective demonstrable/measurable benefits beyond academia?

- (c) What will be done during and/or after the project to increase the likelihood of achieving the identified benefit and reaching the identified beneficiaries?

Assessment Criteria

24. As one of the objectives of the RIF is to encourage more impactful and translational research projects, equal weights on academic merit and potential research impact will be adopted in the assessment. There will be different assessment criteria for academic merit and potential research impact.

25. The over-riding criterion is the quality of the research itself, but a good Pathways to Impact statement will strengthen the proposal. On the other hand, if the quality of the research is not thought to be excellent, then a strong Pathways to Impact statement will not redeem it. In this regard, any funded project should pass certain threshold in both academic merit and potential research impact.

26. For the purpose of RIF, impact shares the same definition in Research Assessment Exercise 2020, i.e. the demonstrable contributions, beneficial effects, valuable changes or advantages that research qualitatively brings to the economy, society, culture, public policy or services, health, the environment or quality of life; and that are beyond the academia.

Assessment of Research Impact

27. The Pathways to Impact statement, the applicants' track records and any support from potential users of the research will be considered for evaluating potential research impact. For track record, the applicants' grant record of RGC/non-RGC funding schemes, patents held/under application, collaboration history beyond academia etc. will all be taken into account.

28. The RGC values both local and global impact as well as both short and long term impact. Whether the impact is substantial is the critical factor.

29. Potential research impacts will be assessed in terms of their reach and significance, regardless of the geographic location in which they occurred. The criteria of 'reach and significance' will be understood as –

- (a) 'reach' is the extent and/or breadth of beneficiaries of the impact; whereas
- (b) 'significance' is the degree to which the impact has enabled, enriched, influenced, informed or changed the products, services, performance, practices, policies or understanding of commerce, industry or other organisations, governments, communities or individuals.

Assessment Process

30. Proposals will be assessed by an assessment panel with members comprising non-local academics, local RGC lay member(s) and end users (e.g. government departments, non-government organisations, business sector, industry, etc.).

31. Preliminary proposals will be evaluated by panel members. Full proposals will be peer-reviewed by non-local external reviewers and also evaluated by end-users.

32. An interview session will be incorporated in the full proposal review process to allow applicants to demonstrate the potential impact of the proposals and answer questions from the panel. Representatives of the Innovation and Technology Commission will be invited to join the interview session as observers to identify projects with potentials for Innovation and Technology Fund grants. Representatives from social services sector or other sector may also be invited to join the interview session as observers. All observers at panel meetings will not have a role in the assessment process.

33. All things being equal, priority will be given to proposals with a high ratio of matching funding from universities/partner(s).

34. The RGC will invite shortlisted candidates in May 2018 to submit full proposals. Applicants will be notified through the universities.

Enquiries and Miscellaneous

35. Enquiries about the contents of these Explanatory Notes and other related matters about the RIF funding exercise should be directed to the Research Offices of the Universities which, if in doubt, should consult the UGC Secretariat for clarification. Also, correspondence regarding RIF matters including enquiries, appeals and complaints should be made through the Research Offices of the Universities.

36. The policy statement on handling of information and personal data contained in RIF applications are at Annex A of the GRF Explanatory Notes, available at <http://www.ugc.edu.hk/doc/eng/rgc/form/GRF2.pdf>. Applicants requiring additional information about internal deadlines, application procedures or assistance in completing the application form may contact the Research Offices of their own universities.

UGC Secretariat
January 2018