

RESEARCH GRANTS COUNCIL

The French National Research Agency (ANR) / Research Grants Council (RGC) **Joint Research Scheme 2019/20**

Explanatory Notes for Completing the Application Supplement **(for Hong Kong applicants)**

All applicants should read this Explanatory Notes carefully before completing and submitting your research proposal and Application Supplement. The RGC and the ANR may stop further processing your application if your application is found to be not in compliance with any of the requirements as set out in the Explanatory Notes.

GENERAL

- (a) These notes are intended to be read by applicant(s) / related staff of university(ies) before completion and submission of an ANR / RGC Joint Research Scheme (JRS) application. Please note that item numbers under Parts I to III in these notes correspond to those in the application form.
- (b) The Application Supplement form comprises three parts, Part I: Summary of the Research Proposal; Part II: Details of the Research Proposal; and Part III: University's Endorsement and Declaration of Research Ethics / Safety.
- (c) The form has to be completed in English.
- (d) 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 application format and / or the allowable page may lead to disqualification of the application.**

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

- (e) 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".
- (f) Parallel submission of applications by the Hong Kong and French applicants are required. The Hong Kong and French applicants should

prepare a joint proposal following ANR's format¹ which should be submitted to the RGC and the ANR in parallel. **French applicants should first complete the pre-registration by 25 October 2018 at 1300 (Paris local time) via ANR's online system** and then submit the joint proposals via the on-line system of the ANR by the end of March 2019. The ANR will issue separate announcement regarding the opening and closing dates for proposal submission via their on-line system after the completion of the pre-registration, tentatively in February 2019. Hong Kong applicants should submit two hard copies and one soft copy each of the same joint proposals together with the Application Supplements to the RGC through the Research Offices of their respective universities **within three working days at 1700 hours** (Hong Kong time) after the submission deadline of the joint proposal as specified by the ANR.

- (g) To help reduce the cost of processing and save paper, applicants are urged to keep the length of proposals and attachments to the minimum and use double-sided printing / photocopying when making copies. It is important that applicants should comply with the page / word limits specified in various sections of the application form. Applications will be disqualified if the proposals are found to have exceeded the allowable page / word limits in various sections of Part II of the application form. Attachments are allowed only to cater for the needs of essential document such as letter of collaboration or price quotations. Supplementary materials such as papers, manuscripts, publications or detailed research work are not acceptable.
- (h) Information on the Application Supplement form should be consistent with that given in the joint proposal. If not, the application would not be processed further. It is the obligation of the Principal Investigators (PIs) 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 disqualification of an application.
- (i) 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.
- (j) Applicants are prohibited to communicate with RGC Council 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.

¹ The joint proposal is expected to be written in English. If the joint proposal is prepared in French, the Hong Kong Principal Investigator should submit an English version to the RGC.

- (k) The on-costs related to research projects funded by the RGC will be disbursed to the universities for their disposal. The UGC Secretariat will liaise with the Research Offices of the universities on the calculation and disbursement details separately. PIs are not required to include the calculation of on-costs in the application forms. They have to include the project costs only.
- (l) Unless otherwise stated, all funding levels stated in this application form are in Hong Kong Dollars.

INFORMATION UPDATE

- (m) A brief update of the information contained in the Application Supplement, if any, should be submitted to the UGC Secretariat on or before 5 July 2019, indicating any significant changes, e.g. changes in the eligibility of the PI, alternative funding obtained, declarations of similar / related proposals / projects, investigator(s)'s CVs, grant records, etc. It should be emphasized that such update should be confined to the above-said changes, and applicants should not use the opportunity to revise their proposals substantially. Two hard copies and a softcopy of the information update should be submitted to the UGC Secretariat on or before the same deadline.
- (n) If an update is provided for ethics / safety approval for an application, the respective Research Office should submit the relevant updated data to the RGC on or before 5 July 2019. 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.
- (o) If an update is provided for approval for access to Government / official / private data and records for an application, the respective Research Office should submit the relevant updated data to the RGC on or before 5 July 2019. Evidence of approval should also be submitted at this stage.
- (p) If an update is provided on any related research work that is being / has been conducted in relation to the proposal, the PI / Co-Investigator(s) (Co-I(s)) should submit the relevant update to the RGC on or before 5 July 2019.

ENQUIRIES

- (q) Enquiries about the contents of the Explanatory Notes and other related matters about the ANR / RGC JRS should be directed to the Research Offices of the universities which, if in doubt, should consult the UGC

Secretariat for clarification. Also, correspondence regarding the ANR / RGC JRS matters including enquiries, appeals and complaints should be made through the Research Offices of the universities.

- (r) The guidelines on handling the information and personal data contained in the ANR / RGC JRS applications are at Annex A. 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. Their contact details are as follows:

Ms Cecilia Sun City University of Hong Kong 83 Tat Chee Avenue Kowloon Tong Kowloon	Tel.: 3442 6832 Fax: 3442 0136
Ms Doris Fung Hong Kong Baptist University Kowloon Tong Kowloon	Tel.: 3411 2755 Fax: 3411 5133
Ms Connie Lam Lingnan University 8 Castle Peak Road Tuen Mun New Territories	Tel.: 2616 7683 Fax: 2591 9618
Ms Joanne Tsang The Chinese University of Hong Kong Shatin New Territories	Tel.: 3943 1837 Fax: 3942 0993
Miss Christine Yeung The Hong Kong Polytechnic University Hung Hom Kowloon	Tel.: 2766 4046 Fax: 2355 7651
Ms Catherine Leung The Hong Kong University of Science and Technology Clear Water Bay Kowloon	Tel.: 2358 6946 Fax: 2358 1541
Miss Cherry Lau The University of Hong Kong Pokfulam Road Hong Kong	Tel.: 2859 2275 Fax: 2803 0558

Ms Clara Fong
The Education University of Hong Kong
10 Lo Ping Road
Tai Po
New Territories

Tel.: 2948 7700
Fax: 2948 7697

- (s) The guidelines on handling the information and personal data contained in applications are at Annex A. 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.
- (t) 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 applicants to note and observe the “RGC Code of Conduct” and “Extract from the Prevention of Bribery Ordinance” at http://www.ugc.edu.hk/doc/eng/rgc/code_of_conduct.pdf

PART I SUMMARY OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

1. Particulars of the Project

- (a)(ii) The RGC project reference number, project title and project field(s) in the
- (b)(i) Application Supplement should be the same as that used in the joint proposal.

- (a)(iii) The applicant(s) must indicate with caution the nature of the application being submitted. “New” refers to the application on research topic which the PI and / or Co-I(s) applies / apply for RGC funds for the first time. “Re-submission” refers to the application on research topic which the PI and / or Co-I(s) have previously applied for RGC funds but not supported. “Continuation” refers to the application continuing the work previously funded by the RGC.

- (b)(iii) Projects to be funded from the ANR / RGC JRS should last for either three or four years.

- (b)(iv)(v) The grant sought by the Hong Kong applicants from RGC for each project should not exceed HK\$3 million. The indicative average funding from the ANR for the French applicants is about € 280,000 per project.

- (c) A short abstract of a maximum of 400 words comprehensible to a non-specialist should be given. This should be informative and indicative of the nature of research to be conducted. If a proposal is funded, the “Abstract of Research” (Abstract) will be uploaded on the RGC website for public’s information. The applicant will be approached for a Chinese version of the Abstract for public access shortly after the announcement of the funding results.

- (d)(i) PI should provide details in case the proposal is a re-submission (submitted to the UGC / RGC before) or is largely similar to a proposal that has been submitted to the UGC / RGC or other funding bodies. It is the responsibility of the PI to declare clearly and honestly whether his / her proposal is a re-submission. PI should re-visit the main concerns / suggestions previously expressed by external reviewers if an earlier / similar version of the proposal has been assessed before. The RGC reserves the right to discount the rating of an application for its failure to acknowledge the fact that it is a re-submission of a previous application.

- (d)(ii)(iii) This section allows the applicant to respond to those comments, and explain whether and what changes have been incorporated in the latest proposal. Some external reviewers’ comments may be more agreeable / disagreeable than others. However, if a rebuttal is offered, it should be scholarly and

preferably measured. Under the existing policy, re-submitted proposals will be treated as fresh applications in peer-review and handled in an identical manner to other new applications. Although subject panels will take into account the PIs' responses to the reviewers' comments, the panels are not obliged to invite the same group of external reviewers for assessment of the new application.

PART II DETAILS OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

PROJECT FUNDING

The RGC may not process your application if the proposed budget does not comply with the requirements as set out below. The RGC also reserves the right to impose penalty on any university which fails to screen out non-compliant applications.

While RGC may fully or partially fund the approved projects, university(ies) are expected to provide necessary infrastructural and overhead supports such as normal academic equipment, consumables, postage, fax, stationary, reference books and overseas telephone charges to funded projects.

Permissible Items

- A detailed budget for the project throughout the project period should be given. PIs and Co-Is are not regarded as staff and must not be remunerated with salaries. Academic staff remunerated by any UGC-funded university(ies) 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 which would not otherwise be separately incurred. Examples of these are: salaries of Research Assistants specifically employed for this project; purchase of equipment necessary for the investigation but not available in the university(ies).
- In cases where a particular Research Assistant is employed for several projects, his / her salary should be apportioned accordingly.
- Detailed justification should be provided. Otherwise, the RGC will not consider the request.
- The “General Expenses” item is a catch-all category for costs which cannot be included in any of the other items.

1. Cost and justification

One-line Vote Items

(a)(i) Supporting Staff

Please state the number, rank, cost and duties of supporting staff involved, with justification for the proposed rank and duration. 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. The grant assumes an indicative rate which is currently at \$275,000 per annum for RA and \$441,000 per annum for senior RA (SRA). These indicative rates are only meant for reference. The indicative rates will be reviewed before the Council decides the supporting level for the applications. The total staff costs supported will then depend on the indicative rates or the rates proposed by the applicants concerned, whichever is lower. In the case of applications for funding for Post-doctoral Fellows, the CV of the post-doc in one A4 page should be attached if available.

(a)(ii) Equipment

RGC fund must not be used to purchase personal electronic devices such as cell phones, iPod, iPad, MP3 Players, digital cameras and 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 equipment, the following points should be addressed:

- (i) Is the equipment essential to the project?
- (ii) Has the department / university already provided such equipment?
- (iii) Is there similar equipment elsewhere in other universities and what is the possibility of sharing?
- (iv) Provide information in supporting the estimated cost of equipment e.g. quotes from suppliers. Items costing over \$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 \$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 utilization and percentage of utilization (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 application;
 - 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 application and the estimated number of hours per annum of utilization.
- Will the equipment be available for use by universities other than the collaborating universities under the application? If yes, please state the extent of shared use by other universities such as the number of hours available for sharing per week.

(a)(iii) Outsourcing of Research Work Outside Hong Kong

Research grants awarded by the RGC should primarily be used in undertaking research work in Hong Kong by the PIs and their teams in order to train and groom research talents in Hong Kong. It will be legitimate for the PIs to subcontract 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 PIs should have identified and possessed a high level of research expertise in their teams when they submit research applications to the RGC. The activity to be subcontracted out, for instance, data collection work, should not be the main intellectual focus of the research project;
- The persons / organizations providing the subcontracting services

should be at arm's length with the PIs or their serving universities (for instance, employees, friends, relatives, subsidiary companies *etc.* should be avoided) and the procurement should be done in accordance with the university's procedures and guidelines; and

- The PIs or their team members should be involved in monitoring the subcontracting services or the supervision of the subcontracting services.

For subcontracting services or research work to be conducted outside Hong Kong, the PIs have to justify in their proposals to the RGC Panel for approval. The RGC Panel will evaluate the merits and justification of the case according to the conditions specified above. For service/work over \$200,000, price quotations must be provided.

Applicants should provide detailed justification of sample sizes and costs for surveys conducted outside Hong Kong.

(a)(iv) General Expenses

Outsourcing services other than those specified in (iii) above should be included under general expenses. For services / purchase over \$200,000, price quotations must be provided.

Applicants should provide detailed justification of sample sizes and costs for surveys conducted outside Hong Kong.

The RGC funding will also provide support for reasonable expenses for passage and subsistence costs for Hong Kong researchers and research postgraduate students to visit their collaborators. For visits made by the Hong Kong project team, the number and period of visits, and number of travellers for each trip should be stated and justified. The objective which the visit(s) aimed for should also be stated. Travel of research postgraduate students must be accompanied by the PI and with justification provided.

Project review workshops may be organized for the Hong Kong and French PIs to present their mid-term and/or final reports. The Hong Kong applicants can include the expenses for travel of the PIs (passage and subsistence costs) to attend one project review workshop in France in the budget.

(a)(v) 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 \$20,000 per year, irrespective of the number of investigators involved in the project, is normally allowed for each funded

project.

Earmarked Items

(a)(vi) Relief Teacher

Applicants under all subject panels may apply for funding support for the employment of relief teachers. Please state the rank of the relief teacher, the months and costs involved. The RGC agrees in principle to provide, in cases where there is genuine need, funding for relief teachers so as to enable the PI to allocate sufficient time for research. The duration of employment of relief teachers should normally range from six to a maximum of twelve months for a 36-month project. Relief teachers engaged for this purpose are meant to relieve the PIs of their day-to-day teaching loads and administrative burden related to teaching work. Nevertheless, the RGC is of the view that it is the primary responsibility of the universities to put their resources in areas where they would be best used. Hence, such funding will be provided only exceptionally and upon detailed and sound justification. It is not necessary to find a relief teacher with equivalent salary, status and experience as the PI concerned. The relief teacher is also not supposed to take up non-teaching related duties, such as purely administrative work, of the PI. In this connection, the universities are requested to confirm that the salaries for the relief teachers proposed by the PIs do not exceed the salary of Staff Grade 'G' (i.e. Lecturer (U)) of the universities concerned. If the applicant or the university intends to employ a relief teacher with salary higher than that for 'Lecturer (U)', strong and detailed justification must be provided for consideration by the RGC. 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.

Please also state the current average teaching load (total number of classroom hours per academic year). Universities are requested to confirm that the PI's declared teaching load has been verified.

Under the existing policy, each applicant can hold at most one UGC / RGC grant with an element of relief teacher (save for Humanities and Social Sciences Prestigious Fellowship Scheme (HSSPFS)). To this end, holders of grant for employment of relief teacher under UGC / RGC funding schemes are considered eligible to apply for grant for relief teachers under this scheme by the deadline in March 2019 if and only if he / she will submit the completion report of his / her existing project (except HSSPFS) on or before 1 April 2019. The concerned university is requested to confirm the applicant's declaration and where appropriate, undertake to follow up with the applicant on the withdrawal of such budget item in the application in writing to the Secretariat by 5 July 2019.

(a)(vii) High-performance Computing Services

A provision of up to \$100,000 will be allowed for the subscription of high-performance computing services for each funded project. Price quotation should be provided. Requests without quotations may not be considered.

(a)(viii) Research-related Software Licence / Dataset

For requests for purchase / subscription of database(s) / dataset(s), price quotations should be provided. Requests without quotations may not be considered. The university should not use the RGC Funds to purchase standard software licences / dataset.

(a)(ix) Project Review Workshop

Project review workshops may be organized for the Hong Kong and French PIs to present their mid-term and / or final reports. The Hong Kong applicants can include the expenses for travel of the PIs (passage and subsistence costs) to attend one project review workshop in France in the budget.

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

2. Existing facilities and major equipment available in Hong Kong university for this research project

Please elaborate the existing facilities and equipment available in the Hong Kong university for this research project.

3. Funds secured or to be secured

Other sources of funds can include private donations, awards or grants from other organizations, contract research funds from commercial enterprises, or special allocations made by the university from the block grant or the indicated grant for equipment, etc. It should be noted that the amount secured from other sources will be deducted from the total cost of the project in Section 1(a) of Part II.

The RGC has the sole discretion in deciding the final funding. Even if the proposal is fully funded as requested, the RGC funding must not be spent on items that are prohibited unless it is explicitly allowed by the RGC.

4. Particulars of PIs and Co-Is

(a) Each application should be submitted with only one applicant nominated as the PI and no applicant should submit more than one application in this capacity. A PI of an on-going ANR / RGC JRS project is not allowed to

submit new application unless both collaborative partners have completed the last approved project and the Hong Kong PI has submitted his / her completion report to the RGC before the application deadline. Nevertheless, a PI will not be subject to the above restrictions if he / she only participate as a member of other new funding proposals. Other joint applicants, if any, will be regarded as Co-Is. Each Co-I should have a clear, distinct and material role. Excessive number of Co-Is should be avoided. Save in very exceptional circumstances, the RGC will not entertain requests for the addition of Co-Is to a project after the funding award. Once the application is submitted, a change of PI during the period of processing the application will not be approved.

The PI of an RGC project grant must be an academic staff member of an UGC-funded university with conditions of employment meeting ALL the following requirements:

- (i) having a full-time² appointment in the university proper³;
- (ii) being in Staff Grades from ‘A’ to ‘I’⁴ as defined in the Common Data Collection Format (i.e. from ‘Professor’ to ‘Assistant Lecturer’, see Annex B);
- (iii) being primarily engaged in and spending at least 80% of time in degree or higher degree work at the university proper; and
- (iv) salary being wholly funded⁵ by the university proper.

The following categories of staff members are subject to the following additional requirements besides meeting criteria (i) to (iv) above:

- (i) A newly appointed staff member should have formally entered into a contract of service with the university on or before the 1 April 2019 and that his / her appointment would take effect on or before 1 July 2019.
- (ii) A staff member employed on a fixed term contract should be eligible at the time of funding award being offered tentatively in September 2019 and for at least the first year of the project’s planned duration; or
- (iii) A visiting scholar should have a full-time employment at the university proper covering at least one year or the duration of the project whichever is the longer.

An academic staff member who is engaged in non-degree programmes which are still funded by the UGC may also apply and serve as PI. Eligible staff in this category must be wholly funded from the General Funds of the university concerned.

² Excluding part-time staff and staff holding honorary appointments.

³ Excluding schools / arms of continuing education and professional training and other analogous outfits.

⁴ Excluding polytechnic staff grades.

⁵ Excluding staff member who is receiving income from paid appointments outside the university proper or who is supported by external research grants.

Notwithstanding the foregoing, cases of exceptional circumstances may be considered by the RGC on a case-by-case basis. The university should seek the RGC's special approval for such cases before submitting the application.

To ensure record accuracy and to facilitate identification of PIs, the PI should enter the name as shown on his/her Hong Kong Identity Card / passport (where applicable) and use the standardized format of names as agreed with respective universities when submitting all RGC grant applications:

	PI Surname	PI Other Name *
e.g.	Chan	Peter Tai-wai
e.g.	Zhong	Yaping
e.g.	Robinson	Philip Gary

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

The applicant should indicate whether he / she or any of the team members is / are RGC Council / Subject Panel Member(s) as at the deadline of the application. The Hong Kong PI should provide the number of hours per week to be spent on the proposed project.

The Hong Kong PI and all local Co-I(s) are required to provide an ORCID iD to facilitate identification of researchers. ORCID iD can be registered for free at <http://orcid.org>.

- (b) This section should summarize the qualifications of both teams' PI and each Co-I(s) who will be involved in the project. The CV(s) to be attached should include the following information, as appropriate:

Name, academic qualifications, previous academic position(s) held (with date(s)) & present position (state if applicant is a visiting academic from overseas), previous relevant research work, publication records including the five most representative publications in recent five years and five representative publications beyond the recent five years (ten at maximum) and others including research-related prizes and awards, brief description of experience in consultancies, service as a referee in evaluating other grant applications, patents, PhD theses supervised, etc.

The author list of the publications in the CV should be presented in full and cited exactly as written in the original publication. In particular, the applicant should indicate clearly his/her position especially in the long author list, say author 13 out of 40 for facilitating panel's consideration.

Failure to comply with the above requirements may lead to disqualification of the concerned application.

Each CV should be limited to either two A4 pages in pdf according to the standard RGC format as stated in point (d) under “General” above or a maximum of 800 words for direct inputting in the text box.

- (c) Please give details of plan of collaboration. In proposals involving more than one investigator, the role and specific task(s) of each individual (including the PI and Co-Is) in the proposed research should be described clearly. If the research involves collaboration with other research team(s) or university(ies), letters of collaboration should be attached to Section 9. The PI should confirm that the Co-I(s) listed in the proposal have explicitly agreed to serve in the project team and a copy of the proposal has been provided to each of the Co-Is. Further documentary proof on the collaboration should be provided upon request of the RGC / Secretariat.

DECLARATION OF RELATED PROPOSALS & GRANT RECORD

5. Grant Record of Hong Kong Investigator(s)

It is the responsibility of applicants (both PI and Co-I(s)) 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 application and debarring from applying for future UGC / RGC grants. PIs / Co-I(s) are required to declare any related research work that is being / has been conducted in relation to the proposal, and provide clarifications that 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 PI or the Co-I(s) to declare related research work when there is uncertainty. The PI or the Co-I(s) are 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 PI / Co-I is able to justify the differences of the proposals / projects / research work for separate funding.

- (a) For the PI, please provide details on each of the research projects / proposals undertaken by the PI (in capacity as PI / PC / Co-I / Co-PI) including (i) research work funded from all sources (irrespective of whether

from UGC / RGC) that were completed 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 (irrespective of whether submitted to UGC / RGC). Please also provide the objectives for each of the completed / on-going / pending projects / proposals under (i), (ii) and (iii) as well as the number of hours per week spent on each of the on-going projects (except the involvement as Co-I in GRF / Joint Research Schemes projects) under (ii).

The PI should declare (iv) any related research work that is being / has been conducted in relation to the proposal (irrespective of whether from UGC / RGC and not limited to the past five years), including but not limited to data collection, preliminary research, working papers, publications (such as journal papers, conference papers and books, etc.), presentations, media interviews and other submitted proposals, etc. The PI is also required to provide 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 provide clarifications that distinguish that related research work from the work requested to be funded through this proposal. Any researcher who fails to disclose any related research work that is being / has been conducted in relation to the proposal will be subject to disciplinary action.

- (b) For each Co-I, please provide details on (i) the on-going research work funded from all sources and (ii) pending proposals / projects which are undertaken by each Co-I (in only the capacity as PI).

The Co-I should declare (iii) any related research work that is being / has been conducted in relation to the proposal (irrespective of whether from UGC / RGC and not limited to the past five years), including but not limited to data collection, preliminary research, working papers, publications (such as journal papers, conference papers and books, etc.), presentations, media interviews and other submitted proposals, etc. The Co-I is required to provide 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 provide clarifications that distinguish that related research work from the work requested to be funded through this proposal. Any researcher who fails to disclose any related research work that is being / has been conducted in relation to the proposal will be subject to disciplinary action.

6. Major Research Output of Previously Funded Projects

Please include a summary of a maximum of 400 words in standard RGC format on the key results and publications in respect of each previously RGC and non-RGC funded project undertaken by the PI and each Co-I of

the Hong Kong team, in descending chronological order, which are relevant to this application.

ANCILLARY INFORMATION

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

(a) Research Ethics / Safety Approval

It is the responsibility of the university and the PI 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 PI. The PI's university is required to complete and sign Part III of this application 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.

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

It is the responsibility of the university and the PI 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 PI. The PI's university is required to complete and sign Part III of this application form to confirm the relevant approval, if necessary, has been given / is being sought.

For both Section 8(a) and (b), applications should not be submitted unless the approval of the appropriate agency(ies) has / have been or is / are being sought. The RGC will regard the applications as being withdrawn if no confirmation of approval is provided to the RGC by 5 July 2019.

If the university / PI declared that no approval was required but the RGC / Panel eventually considered otherwise, the related application may be disqualified.

8. Release of completion report, data archive possibilities, and public access of publications resulting from research funded by the RGC

Release of completion report

PIs are required to release the completion reports of Hong Kong teams (containing abstract in non-technical terms, objectives, research output including the list of conference papers / publications / journals and research findings and contact information of PI) to the public through the RGC website. PIs should assess data archive potential and opportunities for data sharing. Due additional weight will be given to an application where the applicants are willing to make research data available to others.

PIs are required to include in the project completion reports the URL links to the university's repositories or the publishers' websites so that the public could have quick and easy access to the manuscripts or journal articles. PIs 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 Hong Kong PI 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 Hong Kong PI 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 Hong Kong PI 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.

PART III UNIVERSITY'S ENDORSEMENT AND DECLARATION OF RESEARCH ETHICS / SAFETY

[To be completed by the appropriate authority of the Hong Kong PI's university]

1. University's Endorsement

Staff eligibility requirement for ANR / RGC JRS

The university should confirm that it has evaluated and given support to the application before submission to the RGC. The university is also required to confirm that (i) a PI fully meets the criteria for the ANR / RGC JRS grant; (ii) the salary for the relief teacher proposed by the PI not exceeding the salary of Staff Grade 'G' as set out in the supplementary notes for Applicants of GRF for Relief Support under the Humanities and Social Sciences Panel; (iii) the existing teaching load is verified; and (iv) the applicant will have the number of hours per week as declared in Part II Section 4(a) to supervise the proposed project without prejudice to his / her existing commitment in other research work, teaching and administrative duties.

The university is also required to report to the RGC immediately if a PI subsequently becomes ineligible for the grant and recommend to the RGC for approval a suitable new PI, if any, to take over / conclude the commenced project.

2. University's Commitments

Support to PI and Students

(a)&(b) The university is required to verify and confirm whether the application 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 research grant if the application is supported by the RGC. Nevertheless, it should be also made clear that the primary duty of the PI of the RGC grant is to complete the project according to plan and that the training of students should not be used to justify any delay of project completion nor unsatisfactory project performance.

(d)-(f) For items (d) to (f), please see the notes for Items 1(b), (d) and (e) in Part II.

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

(a) The 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 applications must be vetted by the universities to ascertain if they involve human subjects. If they do, the universities must give approval / exemption according to their internal ethics guidelines by 5 July 2019 as is the case with other ethics / safety approval. If the university is unable to confirm by 5 July 2019 that the required approval has been obtained, the RGC and the ANR will stop processing the application which will be regarded as to have been withdrawn.

- (b) The 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 university is unable to confirm by 5 July 2019 that the required approval has been obtained, the RGC will stop processing the application which will be regarded as to have been withdrawn.

For (a) and (b) above, if the university / PI declared that no approval was required but the RGC / Panel eventually considered otherwise, the related application may be disqualified.

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

UGC Secretariat
October 2018

Handling of Information and Personal Data
Contained in RGC Research Funding Application

Purpose of Collection of Information and Personal Data

1. Information and personal data contained in your research grant application are collected for the following purposes:

- (a) determination of your eligibility, as a staff member of a UGC-funded university, to apply for a competitive grant from the Research Grants Council (RGC);
- (b) assessment of the merits of the research proposal which you have submitted for funding support;
- (c) assisting the RGC subject panels in identifying external reviewers to assess your research proposal;
- (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 projects, such data will be used for project monitoring, promotion, publicity and may also be published on the RGC website.

Handling of your information and personal data

2. Your research proposal including your personal data (e.g. CVs) 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 you want to exclude any individuals from access to your research proposal, you should inform the RGC separately when you submit your research proposal. The RGC does not accept research proposals that are classified “confidential” by the Principal Investigators. It also reserves the right to stop processing or reject any applications if the applicants’ requests render it impossible for the applications to be adequately peer-reviewed.

3. When the RGC obtains external assessments on your research proposal, external reviewers will be made aware of the existence of a Personal Data (Privacy) Ordinance in Hong Kong, and be forewarned that all written comments about the applicant and research proposal are liable to be released to the applicant concerned upon request. External reviewers will also be advised of the RGC policy on providing feedback to grant applicants described in paragraph 4 below.

4. Applicants should note the following:

- (a) all proposals will have undergone a very rigorous peer-review process which involves external assessments and the relevant RGC panels / committees which are made up of experts from the local and international academic / professional community;
- (b) grants are allocated on a competitive basis and each year is a different exercise (the success rate is based on the general quality of the proposals as assessed by the relevant RGC panels / committees, and the availability of funds, in that particular year);
- (c) the RGC is gradually raising the quality threshold, meaning that only the top and the best quality proposals will be “funded”; and
- (d) comments from all external reviewers on each proposal (except for conference grants / travel grants / fellowship applications) will be provided anonymously to the applicants concerned through their universities.

Physical retention of applications

5. Applications 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, with the assistance of external reviewers where appropriate.

Right of Access to Personal Data

6. Notwithstanding the arrangement described above, nothing in this note will affect your legal right to request access to personal data held by the RGC about you or your research proposal 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.

Further Information

7. All requests for access to your personal data or correction of your personal data or for information regarding policies and practices and kinds of personal data held by the RGC should be made in writing, by post or by fax, addressed as follows:

Assistant Secretary General (Research)¹
Research Grants Council
7/F Shui On Centre
6-8 Harbour Road
Wanchai
Hong Kong

Fax: 2845 1183

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Staff Grades, Modes and Funding Sources

Academic 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

Academic Supporting Staff

- J. Instructor
- K. Demonstrator/Tutor/Teacher Assistant
- L. Others, including language assistant, fieldwork supervisor etc.

Technical Research Staff
(Staff who spend essentially
all their time on research)

- M. Senior Technical Research Staff (“leaders”, usually Post Doctoral)
- N. Junior Technical Research Staff (“followers”, usually Graduate)

Non-Academic Grades

Non-academic, Senior

- O. Admin, Senior
- Q. Technical, Senior

Non-academic, Junior

- P. Admin, Junior (including secretarial, clerical)
- R. Technical, Junior
- S. Others, including “Mod 1”

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