

《電子健康紀錄互通系統條例草案》委員會

政府當局就二零一五年三月三十一日會議所討論有關將可識辨身分的
電子健康紀錄用於研究及統計的事項作出的回應

繼我們就於二零一五年三月三十一日會議上所討論的(a)、(b)、(c)(ii)、(d)和(e)事項作出的回應(立法會 CB(2)1215/14-15(02) 號文件和立法會 CB(2)1321/14-15(01) 號文件)，本文件載述政府當局就有關將可識辨身分的電子健康紀錄用於研究及統計的(c)(i)、(iii)、(iv)和(v)事宜作出的回應。

使用可識辨身分的健康資料於健康和醫療研究的數目和例子

2. 使用健康資料(不論是可識辨或非可識辨身分的)作研究或統計用途在國際上是很常見的，亦對健康和醫療服務的進步和發展非常重要。有需要恰當合理地使用可識辨身分的健康資料於研究用途的例子包括：

- (i) 就某些重要疾病以社區/國家為基礎記錄個別病人資料(例如癌症資料統計中心、中風資料統計中心)；評估疾病的模式、病情發展的預測，和治療的功效；
- (ii) 研究經配對人士的組別在某些健康決定因素和健康狀況之間的關係；及
- (iii) 隨著時間追蹤和監察個別病人的治療結果和併發症。

在本地而言，亦有進行一些使用可能可識辨身分的健康資料的研究項目¹，例子包括(只有英文版本，而中文版本屬非官方譯名)：

- (i) State-transition Markov modelling 分析乳房造影普查在香港中國人使用的成本效益 – 香港大學
(Cost-effectiveness analysis of mammography screening in Hong Kong Chinese using state-transition Markov modelling – The University of Hong Kong)
- (ii) 影響香港女性延遲顯示乳癌徵兆的因素 – 香港大學
(Factors influencing delayed presentation with symptomatic breast cancer in Hong Kong Chinese women – The University of Hong Kong)

¹ 這些都是獲得香港的醫療衛生研究基金/健康護理及促進基金批准、並已完成及發布的研究。

- (iii) 香港成年人哮喘和過敏性鼻炎的環境風險因素識辨 – 香港中文大學
(Identification of environmental risk factors for asthma and allergic rhinitis in adults in Hong Kong – The Chinese University of Hong Kong)
- (iv) 香港疾病的死亡率和吸煙的關係的研究：基於死亡登記處個案對照研究 – 香港大學
(Mortality and smoking in Hong Kong: a death registry based case-control study – The University of Hong Kong)
- (v) 香港患癌兒童的與健康相關的生活質素評估 – 香港大學
(Health-related quality of life assessment for Hong Kong Chinese children with cancer – The University of Hong Kong)
- (vi) 隨機、雙盲、安慰劑對照臨床測試草本中藥治療急性上呼吸道感染 – 香港大學
(A randomized, double blind, placebo-controlled clinical trial of Chinese herbal medicine in the treatment of acute upper respiratory infections – The University of Hong Kong)

3. 我們沒有在香港進行的所有健康和醫療研究總數的全面統計數字，或現成的有關使用可識辨身分健康資料的統計分項數字。雖然如此，醫院管理局(醫管局)轄下的聯網研究倫理委員會，在二零一二年、二零一三年和二零一四年分別批准了共 1508、1548 和 1766 項的臨床研究。這些數字概括顯示出相關學術或專業興趣。我們理解這些研究大多數都涉及使用醫管局病人的資料(可以是可識辨身分或非可識辨身分的資料)，而大部分都已獲得有關的病人同意。就這一點而言，醫管局就臨床研究的指引的相關節錄載於附件 I(只有英文版本)，以供參考。因應要求，由大學教育資助委員會管理的優配研究金的二零一五/一六年度撥款申請表格及申請表格填寫說明亦載於附件 II 和 III(只有英文版本)。

4. 扼要而言，研究對象的同意一般是需要取得的。在某些情況下，此要求可獲豁免，(例如，因取得有關的同意屬不可行等情況，又或在沒有獲得豁免的情況下，要進行有關研究並不可行等)。因應這通常做法，我們希望著意指出，《電子健康紀錄互通系統條例草案》(條例草案)

的第 31(2)條中，已經訂明了電子健康紀錄研究委員會在建議應否批准有關使用可識辨身分資料的申請時須顧及的因素。這些因素符合本地和國際就使用可識辨身分醫療資料的做法。而儘管在研究期間有可能會使用可識辨身分健康資料，任何的研究結果或出版刊物都必定不可包括任何可識辨身分的資訊。

5. 在過去三年(二零一二至一四年)，醫管局並沒有收到任何有關在沒有獲得有關資料當事人的另行同意下，將其可識辨身分資料提供作為健康和醫療研究用途的投訴。

條例草案中所制定的概括原則

6. 電子健康紀錄互通系統(互通系統)內的資料對有關公共衛生或公眾安全方面的研究和統計具有價值。同時，我們認同有需要在進行研究的公眾利益和參與互通系統醫護接受者的私隱保障兩者間取得平衡。在遵守私隱條例第 62 條²之外，我們在條例草案第 3 部的第 2 及 3 分部內已列明審視需要使用電子健康紀錄的申請的適當程序。任何該類用途的申請須提交書面建議，列出研究的性質和目的、預期對公眾或科學上的裨益，及電子健康紀錄專員(專員)指明其他的資料。使用非可識辨身分資料的申請由專員考慮批准，而使用可識辨身分資料的申請則會由食物及衛生局局長考慮批准。

7. 將根據第 53 條成立的電子健康紀錄研究委員會將評核涉及使用可識辨身分資料的申請，並向食物及衛生局局長建議批准或拒絕申請，以及批准的條件。委員會由具有在醫護服務、私隱保障、統計、研究、法律及資訊科技方面經驗和專長，以及代表病人組織的委員組成(正如我們隨立法會 CB(2)1151/14-15(01)號文件發放的擬議條文第 53(2A)條所訂定)，它將發揮所長決定個別申請的好處和公眾利益。個別項目的批准條件可包括一些保障私隱方面的特別要求。第 27(2)條訂明，研究成果不得以能識辨醫護接受者的身分的形式提供，而第 45 條規定，任何人士如明知而違反根據第 32(1)(a)條使用電子健康紀錄作研究及統計用途而加予的條件，即屬犯罪。

² 私隱條例第 62 條訂明，在以下情況，個人資料獲豁免而不受第 3 保障資料原則有關取得"訂明同意"的要求所管限 - (a)該資料將會用於製備統計數字或進行研究；(b)該資料不會用於任何其他目的；及(c)所得的統計數字或研究成果不會以識辨各有關的資料當事人或其中任何人的身分的形式提供。

行政指引

8. 在二零一五年三月三十一日的會議中，委員普遍認為在條例草案中只列明原則的做法是合理的，而運作的詳情則適合以行政指引另行訂明。在草擬有關指引時，我們會遵守條例草案中的原則，並參考本地和海外的經驗和做法。

9. 我們預期互通系統需要一些時間，才能夠累積一定數量、對研究和統計用途有意義的資料。在互通系統運作後的首數年，互通系統的資料對研究和統計可能用處不大。我們會於稍後制訂相關的指引，以預備處理將來就使用互通系統資料的申請和批准。

食物及衛生局
2015年5月

Extract of Hospital Authority's guidelines for clinical research

Commonly Accepted Ethical Requirements in Clinical Research

In Clinical Research, the mandatory ethical requirements are the principles of the Declaration of Helsinki, and whenever applicable, the International Conference on Harmonisation – Good Clinical Practice Guidelines (“ICH-GCP Guidelines”). Legal requirements and local institution policies must also be complied with. Some of the more important requirements are:

- i Clinical Research methodology must be scientifically valid and adequate in addressing the questions posed.
- ii Clinical Research design must minimize the potential risks to the Research Subjects, and its anticipated benefits must justify the potential risks.
- iii Equipoise must exist between different arms of a therapeutic trial comprising different interventions or different dosages.
- iv To ensure voluntary participation in Clinical Research, Research Subjects must be adequately informed of the experimental nature of the undertaking; the nature of the Clinical Research, its risks, burdens and benefits; and their rights to withdraw at any time, which will not affect the care they entitle.
- v As each person weighs risks and benefits differently, we must respect other's freedom to decide, based on his/her own value and belief, without coercion and undue influence.
- vi Selection of Research Subjects should be equitable, overuse of any group or individual should be avoided.
- vii Special precautions should be taken to protect vulnerable Research Subjects.
- viii Throughout a trial, Research Subjects should be provided with updated information about the Clinical Research (including adverse events) so that they are free to decide whether or not to continue.

Review Considerations

Besides the mandatory ethical and legal requirements, the Cluster Research Ethics Committee (REC) must also consider the following aspects:

- (a) whether the Clinical Research has a reasonable prospect of improving healthcare or furthering knowledge;
- (b) whether the design and methodology of the Clinical Research (including statistics and sample size) are adequate in addressing the research question;
- (c) whether the research team is competent in the area of Clinical Research and the study site is suitably equipped;
- (d) whether the Clinical Research has a favourable risk-benefit ratio. In considering the risk-benefit ratio, the Clinical REC should consider:
 - (i) The risks linked to the Clinical Research as distinct from those

associated with standard care. The assessment of the risks should not be limited to the study article(s) since the Clinical Researches may involve additional invasive procedures, e.g., additional organ biopsies.

- (ii) Whether the foreseeable risks are minimized to the extent possible?
 - (iii) Whether there are adequate provisions for monitoring risks and early detection of adverse outcome in the Research Subjects?
 - (iv) Whether the risk undertaken justifies the use of an independent data monitoring committee to ensure safety of Research Subjects as a whole?
 - (v) Whether the necessary expertise is available to carry out the Clinical Research and to manage the possible adverse outcomes?
 - (vi) Whether the anticipated benefits to the Research Subjects (excluding extraneous ones such as free service, more attention and expert care, etc.) outweigh all risks and burdens of the Clinical Research?
- (e) The Cluster REC should consider if the Research Subjects are selected on the bases of scientific principles and study goals, and not by convenience, vulnerability, privilege, or other irrelevant factors. In so far as consistent with scientific principles and study goals, a certain population group should not be overburdened. It is also important to ensure that treatment allocated to groups within the Clinical Research is reasonable and fair.
- (f) The Cluster REC should review and approve all informed consent documents to ensure that adequate explanation, prepared in language suitable for the Research Subjects' understanding, will be given. Basic requirements on information to be given to Research Subjects are set out in ICH-GCP Guideline E6, Section 4.8.10, which include, but is not limited to, the followings:
- (i) The research institution and investigators;
 - (ii) The purpose of the study;
 - (iii) Which aspect of study is experimental;
 - (iv) Details of study relevant to Research Subject's willingness to participate, e.g. nature of intervention and invasiveness, use of placebo, method of assignment to different arms and its probability, duration of involvement, sample size, likelihood of premature termination, etc;
 - (v) The foreseeable risks and discomforts to Research Subjects, including embryo, fetus and nursing infant, if applicable;
 - (vi) Any expected benefits (must specify if none is expected);
 - (vii) The rights to refuse or withdraw at any time without reprisal;
 - (viii) Alternative treatments if Research Subject refuses to participate in, or withdraws from, the study;
 - (ix) Possible scenarios where the Research Subject's participation may be terminated;
 - (x) Anticipated expenses to be borne by, or payment to be made to, Research Subjects;
 - (xi) Means of contact for query and urgent medical attention to adverse

outcomes;

(xii) The risk of inducement, such as payment to Research Subjects; and

(xiii) The protection of subjects' privacy and data confidentiality (subject to study monitoring and audit needs).

RESEARCH GRANTS COUNCIL

**Application for Allocation from
the General Research Fund for 2015/16
Application Form (GRF1)**

- Please read the Explanatory Notes GRF2 (Aug 14) carefully before completing this form.
 - To safeguard the interests of the researcher and the institution, awardee institution bears the primary responsibility for prevention, detection and investigation of research misconduct, including but not limiting to misusing of funds, data falsification, plagiarism and seeking duplicate funding for projects which the applicant has already completed partially or entirely. Concerning research grant applications, the institution is strongly advised to use anti-plagiarism software before submitting the application to the RGC.

PART I SUMMARY OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

1. Particulars of the Project

(a) (i) Name and Academic Affiliation of Principal Investigator:

Name _____ Post _____ Unit/Department/institution _____

(ii) Is the PI a new appointee within 2 years of full time paid appointment to his/her first substantive position as an academic staff in a university at the time of submission of the proposal?

Yes

No

(iii) Title of Project:

(iv) Nature of Application

New

Re-submission

Continuation

(b) (i) Primary Field: _____ & Code _____

Secondary Field: _____ & Code _____

(ii) A maximum of five keywords to characterise the work of your proposal

(a maximum of 30 characters for each keyword)

(iii) Project Duration: _____ Months

(iv) Total Amount Requested: \$

(c) Abstract of Research comprehensible to a non-specialist **(a maximum of one A-4 page in standard RGC Format for attaching PDF documents or a maximum of 400 words for direct input in the text box):**

(d) Special funding template (Applicants can select more than one box)

- Clinical Research Fellowship Scheme **(Please also complete an additional form (Enclosure I) and see (Enclosure II)) (only available for applications under Biology and Medicine Panel)**
- Support for Individual Research **(see Enclosure III) (only available for applications under Humanities and Social Sciences Panel and Business Studies Panel)**
- Longer-term Research Grant **(see Enclosure IV)**
- Employment of Relief Teacher under Humanities and Social Sciences Panel **(see Enclosure V) (only available for applications under Humanities and Social Sciences Panel)**
- Provision of Research Experience for Undergraduate Student **(see Enclosure VI)**
- Support for Academic Research related to Public Policy Developments **(see Enclosure VII)**

PART II DETAILS OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

RESEARCH DETAILS

1. Impact and objectives

(a maximum of 800 words in total for the long-term impact and project objectives)

(a) Long-term impact

(b) Objectives

[Please list the objectives in point form]

- XXXXXXXX
- YYYYYYYY

2. Background of research, research plan and methodology

(a maximum of seven A-4 pages in total in Standard RGC Format for items (a) and (b))

(a) Background of research

(b) Research plan and methodology

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

(d) Reference (a maximum of three pages for references is allowed for listing the publications cited in Sections 1 – 2. All full references should be provided, including all authors of each reference.)

PROJECT FUNDING

3. Cost and justification

(a) Estimated cost and resource implications:

[Detailed justification should be given in order to support the request for each item below]

(a maximum of 500 words for each box)

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
	(\$)	(\$)	(\$)	(\$)	(\$)	

(A) One-line Vote Items

(i) Supporting Staff Costs

Types

- Senior Research Assistant / Research Assistant / Post-doctoral Fellows / Research Postgraduate Students
- Others

Monthly salary x Nos. x Months

\$

Justification :

(ii) Equipment Expenses

[please itemize and provide quotations for each item costing over \$200,000]

\$

Justification :

(iii) Outsourcing Expenses of Research Work Outside Hong Kong

[please itemize your cost estimation with justification and provide quotations for work costing over \$200,000]

\$

Justification :

(iv) General Expenses

[please itemize and provide quotations for services/purchase costing over \$200,000]

\$

Justification :

(vi) Conference Expenses

\$

Justification :

Sub-total for (A) (One-line Vote Items):\$ (B) Earmarked Items

(vi) Costs for Employment of Relief Teacher

[see Enclosure III for individual research and Enclosure V for relief support under Humanities and Social Sciences Panel]

Rank:

Monthly salary x Months

\$

Justification :

Current Average Teaching Load: _____ classroom hours per year
[please report UGC-funded programmes only]

(vii) Expenses of Research Experience for Undergraduate Students
(See Enclosure VI)

Justification :

Quotation Provided : Yes No

(viii) High-performance Computing Services Expenses

Justification :

Quotation Provided : Yes No

(ix) Research-related Software Licence /Dataset
[please itemize and provide quotations for each item]

Justification :

Sub-total for (B) (Earmarked Items):

(x) Total cost of the project (A) + (B)

(C) Deduction Items

Less :

(xi) Institutional funding for provision of research experience for
undergraduate student

(xii) Other research funds secured from other sources

Sub-total for (C) (Deduction Items):

(xiii) **Amount requested in this application: (A) + (B) – (C)**

(D) Academic Research related to Public Policy Developments

(xiv) Percentage of the total cost of the proposal related to public policy
developments ((A) + (B))

 %

[see Enclosure VII for Support for Academic Research relating to Public Policy Developments]

(b) Declaration on the Equipment Procurement:

(i) I declare that no equipment is required

OR

(ii) I declare that the equipment indicated in Section 3(a)(A)(ii) above is not available in the institution

OR

(iii) I declare that all or some of the equipment (please provide details in the following text box) indicated in Section 3(a)(B)(ii) above is available in the institution but cannot be used by me in view of the following reasons (a maximum of 500 words)

Reasons: (a maximum of 500 words)

(c) Declaration on employment of relief teacher

(i) I declare that no relief teacher is required

OR

(ii) I declare that I currently do not hold any grant for employment of relief teacher of any on-going project under UGC/RGC funding schemes (excluding Humanities and Social Sciences Prestigious Fellowship Scheme (HSSPFS))

OR

(iii) I declare that I hold grant for employment of relief teacher of the following on-going project(s) under UGC/RGC funding schemes (excluding HSSPFS) and undertake to submit the corresponding completion report(s) by 30 April 2015

Project No.:

Project Title:

Project Commencement Date:

Project Completion Date:

(d) Declaration on high-performance computing services

(i) I declare that no high-performance computing services is required

OR

(ii) I declare that the high-performance computing services indicated in Section 3(a)(B)(viii) above is not available in the institution

OR

(iii) I declare that all or some of the high-performance computing services (please provide details in the following text box) indicated in Section 3(a)(B)(viii) above is available in the institution but cannot be used by me in view of the following reasons (a maximum of 500 words)

Reasons : (a maximum of 500 words)

- (e) Declaration on the research-related software licence / dataset
- (i) I declare that no research-related software licence / dataset is required
- OR
- (ii) I declare that the research-related software licence / dataset indicated in Section 3(a)(A)(ix) above is not available in the institution
- OR
- (iii) I declare that all or some of the research-related software licence / dataset (please provide details in the following text box) indicated in Section 3(a)(A)(ix) above is available in the institution but cannot be used by me in view of the following reasons (a maximum of 500 words)

Reasons : (a maximum of 500 words)

4. Existing facilities and major equipment available for this research project
(a maximum of 400 words)

5. Funds secured or to be secured

- (a) Other research funds already secured for this research proposal:
[This amount will be deducted from the total cost of the project in Section 3 of Part II above.]

<u>Source</u>	<u>Amount</u> <u>(\$)</u>
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- (b) Other research funds to be or are being sought for this research proposal.
[If funds under this item are secured, the amount of the GRF to be awarded may be reduced]:

<u>Source</u>	<u>Amount</u> <u>(\$)</u>
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DECLARATION OF SIMILAR OR RELATED PROPOSALS

[Please refer to GRF2 for information required and implications for non-disclosure of similar or related proposals]

6. Re-submission of a proposal not supported previously

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

Yes No

If yes, please state the funding agency(ies) and the funding programme(s):

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

Project title(s) [if different from Section 1(a) of Part I above.]:

Date (month/year) of application:

Outcome:

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

(c) Please give a brief response to the points mentioned in Section 6(b) above, highlighting the major changes that have been incorporated in this application.

7. Submission of a new proposal or proposal similar or related to on-going and completed projects, and proposals pending funding approval

(a) Is/are there **any other** proposal(s) being submitted by **PI or Co-I(s)** to the RGC (*including those submitted by **PI or Co-I(s)** through other institutions*) in this funding exercise?

Yes

No

If yes, please give the following details -

Proposal(s) submitted by the PI in the capacity of Co-I

(i) Proposal no.:

(ii) Proposal title(s):

(iii) Name of PI(s) of the Proposal (s):

(iv) A brief account of the proposal(s) and an explanation on the differences between the proposal(s) concerned and this application if the two proposals are similar or related (a maximum of 400 words) [If you have difficulty in making the declaration, please explain]:

Proposal(s) submitted by the Co-I in the capacity of PI or Co-I

(i) Name of the Co-I(s) concerned:

(ii) Proposal no.:

(iii) Proposal title(s):

(iv) Capacity : PI or Co-I

(v) Name of PI(s) of the Proposal(s):

(vi) A brief account of the proposal(s) and an explanation on the differences between the proposal(s) concerned and this application if the two proposals are similar or related (a maximum 400 words) [If you have difficulty in making the declaration, please explain]:

(b)(I) Is there similar research being carried out by the PI or Co-I(s) or the collaborators?

Yes

No

(II) Is there related research being carried out by the PI or Co-I(s) or the collaborators?

Yes No

If yes to 7(b)(I) **or** (II), please give a brief account including names of investigators, departmental and institutional affiliations, project title(s) and nature of the project(s) (a maximum of 400 words):

(c)(I) Is/Are there similar proposal(s) being submitted by PI or Co-I(s) (in both capacity as PI/PC or Co-I/Co-PI) to other competitive funding schemes of the RGC or other funding agency(ies) or his/her institution(s)?

Yes No

(II) Is/Are there related proposal(s) being submitted by PI or Co-I(s) (in both capacity as PI/PC or Co-I/Co-PI) to other competitive funding schemes of the RGC or other funding agencies or his/her institutions?

Yes No

If yes to Section 7(c)(I) **or** (II), please give the following details -

Proposal(s) submitted by PI

- (i) The funding agency(ies) / institution(s) and the funding programme(s):
- (ii) Reference No(s) (for RGC funding schemes only):
- (iii) Proposal Title(s):
- (iv) Capacity : PI/PC or Co-I/Co-PI
- (v) Name of PI of the Proposal(s):
- (vi) A brief account of the proposal(s) including month & year of application and an explanation on the differences between the proposal(s) concerned and this application (a maximum of 400 words) [If you have difficulty in making the declaration, please explain]:

Proposal(s) submitted by the Co-I

- (i) Name of the Co-I(s) concerned:
- (ii) The funding agency (ies) / institution(s) and the funding programme(s):
- (iii) Reference No(s) (for RGC funding schemes only):
- (iv) Proposal title(s):
- (v) Capacity : PI/PC or Co-I/Co-PI
- (vi) Name of PI(s) of the Proposal(s) :
- (vii) A brief account of the proposal(s) including month and year of application and an explanation on the differences between the similar/related proposal(s) concerned and this application (a maximum 400 words) [If you have difficulty in making the declaration, please explain]:

(d)(I) Is/Are there similar project(s)/work by PI or Co-I(s) (in both capacity as PI/PC or Co-I/Co-PI) already completed?

Yes No

(II) Is/Are there related project(s)/work by PI or Co-I(s) (in both capacity as PI/PC or Co-I/Co-PI) already completed?

Yes No

If yes to (d)(I) **or** (II), please give the following details -

Project(s) by the PI

- (i) The funding agency(ies) and the funding programme(s):
- (ii) Reference No(s) (for UGC/RGC funding schemes only):
- (iii) Project Title(s):
- (iv) Capacity : PI/PC or Co-I/Co-PI
- (v) Name of PI(s) of the Project(s) :
- (vi) A brief account of the project(s) including month & year of application for funding, if applicable and an explanation on the differences between the project(s) concerned and this application (a maximum of 400 words) [If you have difficulty in making the declaration, please explain]:

Project(s) by the Co-I

- (i) Name of the Co-I(s) concerned:
- (ii) The funding agency (ies) and the funding programme(s):
- (iii) Reference No(s) (for UGC/RGC funding schemes only):
- (iv) Project title(s):
- (v) Capacity : PI/PC or Co-I/Co-PI
- (vi) Name of PI(s) of the Project(s):
- (vii) A brief account of the project(s) and an explanation on the differences between the similar/related proposal(s) concerned and this application (a maximum 400 words) [If you have difficulty in making the declaration, please explain]:

8. Particulars of PI and Co-Is

(a) Investigator(s) information:

Name(s) and Academic Affiliation(s) of Applicant(s):

Name	Post	Unit/Department/ Institution	Current Member of RGC Subject Panel as at application deadline (Yes or No)	Name of RGC Subject Panel
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PI: with title

(b) Curriculum vitae (CV) of applicant(s).

[For the PI and each Co-I, please attach a CV (a maximum of two **A-4 pages** in standard RGC format for attaching PDF documents or a maximum of 800 words for direct input in the text box) per person in the following format.]

- (i) Name:
 - (ii) Academic qualifications:
 - (iii) Previous academic positions held (with dates):
 - (iv) Present academic position:
 - (v) Previous relevant research work:
 - (vi) Publication records [Please refer to GRF 2 Part II Section 8 for the format required by the RGC]:
 - Section A - Five most representative publications in recent five years
 - Section B - Five representative publications beyond the recent five-year period with the latest publication entered first.
 - (vii) Others (please specify):
- (c) Plan(s) for collaboration in this application:
 [Indicate the role and the specific task(s) the PI and each Co-I, if any, is responsible for.]
 [Letter(s) of collaboration can be attached to Section 13]
- (d) Number of hours per week to be spent by the PI in the proposal:

GRANT RECORD OF INVESTIGATOR(S)

9. Details of Research Projects

(i). Details of (a) unsuccessful or withdrawn or terminated proposals/projects submitted to UGC/RGC in the past five years; (b) completed research projects funded from all sources (irrespective whether from UGC/RGC) in the past five years; and (c) on-going research projects funded from all sources (irrespective whether from UGC/RGC) undertaken by the **PI** (in a PI/PC or Co-I/Co-PI capacity).

Status of proposal/ project (Submitted, Withdrawn, Terminated, Unsuccessful, On-going, Completed)	Project Title	PI/PC/Co-I/ /Co-PI	Project Ref. No.	Funding Source(s) and Amount(\$)	RGC/UGC Funding (Yes or No)	Start Date (if applicable)	Estimated Completion Date (if applicable)	Number of Hours Per Week Spent by the PI in Each On-going Project*
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* The PI is not required to report on the time spent in the capacity of Co-I in GRF projects.

(ii) Details of on-going research projects funded from all sources (irrespective whether from UGC/RGC) undertaken by each Co-I (in a PI/PC capacity).

Name of Co-I(s)	Project Title	Project Ref. No.	Funding Source(s) and Amount(\$)	Start Date	Estimated Completion Date
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ANCILLARY INFORMATION

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

[Please refer to GRF2 Part II Section 10 for the responsibilities and implications]

(a) Research Ethics/Safety Approval

(i) I confirm that the research proposal involves / does not involve human subjects.

(ii) Please tick '✓' in the appropriate boxes to confirm if approval for the respective ethics and/or safety issues is required and has been / is being obtained from the PI's institution. PIs are encouraged to seek necessary approval before application deadline as far as possible.

Approval not required	Approval obtained	Approval being sought	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(i) Human research ethics
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(ii) Animal research ethics
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(iii) Biological safety
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(iv) Ionizing radiation safety
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(v) Non-ionizing radiation safety
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	(vi) Chemical Safety

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

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

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

No

Yes

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

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

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

[Note: PIs are encouraged to seek necessary approval before application deadline as far as possible.]

11. Proposed reviewers

(a) List of proposed reviewers:

PI assumes full responsibility for reporting all the relationship(s) between himself/herself as well as his/her Co-Is with each of the nominated external reviewers. To avoid any possible or perceived conflict of interests, nomination of external reviewer(s) having any of the following relationship(s) with either PI or Co-Is or both should be avoided –

- (i) Advisor or Advisee relationship (such as Tutor and PhD student relationship)
- (ii) Co-authorship of papers or publications less than seven years ago
- (iii) Co-authorship of patents
- (iv) Partnership or co-organizers of major events less than seven years ago
- (v) Colleagues employed in the same department of an institution or organization less than seven years ago
- (vi) Collaborator in research projects or programme (Co-I or Co-PI of proposals) less than seven years ago
- (vii) Long-time personal friends
- (viii) Serving the same editorial board with an appointor-appointee relationship

[Please refer to Part II Section 11 of GRF2 for responsibilities and implications. The PI should make the list of nominated reviewers available to the Co-Is for making declaration.]

(b) Declaration of any past and present relationship between the investigator(s) i.e., PI and Co-Is, and the nominated reviewers [minimum one tick per reviewer]:

Nature of relationship (please elaborate)	Reviewer				
	(i)	(ii)	(iii)	(iv)	(v)
Colleagues in the same organization seven or more years ago (please specify if in the same department)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Collaborators in research projects/ programmes (Co-I or Co-PI of proposals whether funded or not) seven or more years ago	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Co-authors of journal papers/ patents/ publications seven or more years ago	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Partners or co-organizers of major events seven or more years ago	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Teacher at undergraduate studies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Fellow members of the same editorial board	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others (please specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
None	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

(c) Indicate the name of PI/Co-Is and the nature of the relationship declared in (b) (e.g. when and where the relationship was / is developed, name / nature of project(s), publication(s) or event(s) involved):

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

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

Yes

No

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

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

Yes No

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

I undertake that upon acceptance of a paper for publication,

- (i) I will check whether the publisher already allows (A) full open access to the publisher's version, or (B) my depositing a copy of the paper (either the publisher's version or the final accepted manuscript after peer-review) in the institutional repository for open access;
- (ii) if both (i) (A) and (B) are not allowed, I will request the publisher to allow me to place either version in my institutional repository for restricted access immediately upon publication or after an embargo period of up to twelve months if required by the publisher; and
- (iii) subject to the publisher's agreement on (i) or (ii) above, I will deposit a copy of the publication in my institutional repository as early as possible but no later than six months after publication or the embargo period, if any.

13. Education Plan, Letters of collaboration and Supporting Documents

Appendix 1: Education Plan (up to one A4 page)

Upload

(A maximum of 20 words for each box to caption each uploaded pdf documents)

Appendix 2: Other supporting documents

PART III INSTITUTIONAL ENDORSEMENT AND DECLARATION OF RESEARCH ETHICS/SAFETY

(To be completed by the appropriate authority of the institution. The institution should confirm that it has evaluated and given support to the application before submission to the RGC.)

INSTITUTIONAL ENDORSEMENT

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

1. Staff Eligibility Requirement for GRF

I confirm that:

- (a) the application has been evaluated and endorsed by the institution for submission to the RGC;
- (b) the PI, in the staff grade _____, meets fully the stipulated staff eligibility requirement for and is not debarred from applying for GRF grant;

[where the PI is newly appointed, the institution has formally entered into a contract of service with him/her on or before the submission deadline of this funding exercise and the contract requires him/her to report for duty on or before 1 May 2015.]

- (c) the PI is/will be employed on permanent term
- the PI is/will be employed on fixed term contract

[If the PI is/will be employed on a fixed term contract, the PI has to be still eligible for a GRF grant at the time of the funding award being made in June in the following year as well as for at least the first year of the planned project duration.]

- (d) the PI is/will be a visiting scholar
- the PI is NOT a visiting scholar

[If the PI is a visiting scholar, he/she has to be employed in the institution on a full-time basis covering at least one year or the expected project duration whichever is the longer.]

- (e) the applicant's declared teaching load at Part II Section 3(a)(vii) has been verified (only for the case where the applicant is seeking funding support for relief teacher);
- (f) the applicant will have the number of hours per week as declared in Part II Section 8(d) to supervise the proposed project without prejudice to his / her existing commitment in other research work, teaching and administrative duties;
- (g) the institution will inform the RGC as soon as the PI ceases to be eligible to apply, receive or hold a GRF grant, and will withdraw the application; or recommend to the RGC for approval of a suitable new PI, if any, to take over the funded project once it is

funded and commenced;

- (h) the institution understands that the GRF grant, if given, will be withdrawn if the project does not start within one year of the announcement of funding result. The institution should report to the RGC as soon as possible when a PI proceeds on no-pay leave/professional leave for a continuous or cumulative period exceeding 183 days within the project period;
- (i) **[for PI requesting Employment of Relief Teacher at Part II Section 3(B)(vii) only]**
- the PI does not currently hold any grant for employment of relief teacher of any on-going project under UGC/RGC funding schemes (excluding HSSPFS)
 - the PI holds the grant for employment the relief teacher of the on-going project(s) at Part I Section 1(d) (excluding HSSPFS) and I shall ensure the PI to submit the corresponding completion report(s) by 30 April 2015

Longer-term research grant (only for the case where the PI has selected this item at Part I Section 1(d))

- (i) the PI
- meets
 - does not meet

the eligibility requirement for longer-term research grant as set out in the Supplementary Notes for Applicants of GRF for Longer Term Research;

Individual research (only for the case where the PI has selected this item at Part I Section 1(d))

- (k) the PI
- meets
 - does not meet

the eligibility requirement for funding support of individual research as set out in the Supplementary Notes for Applicants of GRF for Individual Research;

- (l) the institution
- will
 - will not

facilitate arrangements for time-off for applications for individual research;

Relief teacher support under Humanities and Social Sciences Panel (only for the case where the PI has selected this item at Part I Section 1(d))

(m) the salary for the relief teacher proposed by the PI

- exceeds
- does not exceed

the salary of Staff Grade 'G' (i.e. lecturer (U)) or equivalent as set out in the Supplementary Notes for Applicants of GRF for Research Support under Humanities and Social Sciences Panel.

INSTITUTIONAL COMMITMENTS

2. Support to PI and Students

I confirm that:

(a) the institution is committed to providing a monthly allowance of \$1,250 to the undergraduate student helper up to a maximum period of ten months if this proposal is funded under the provision of research experience for Undergraduate Student **(only for the case where the PI has selected this item at Part I Section 1(d))**;

(b) adequate supervision, research facilities and training provisions

- will
- will not

be in place to meet the need of RPg student(s) so employed under the research grant if this application is supported by the RGC.

- No RPg student will be trained in this proposed project
- Not applicable

(c) the research project under this GRF application

- is
- is not

in line with the role of the institution.

(d) no outsourcing outside Hong Kong is required

- the PI's justification at Part II Section 3(a)(A)(iii) is reasonable and I support the PI's application for outsourcing the stated work outside Hong Kong
- (e) no equipment is required
- the PI's declaration and reasons at Part II Section 3(b) are true and correct and I support the PI's request for this procurement of equipment
- (f) no high-performance computing services is required
- the PI's declaration and reasons at Part II Section 3(d) are true and correct and I support the PI's request for this subscription of high-performance computing resources
- (g) no research-related software licence / dataset is required
- the PI's declaration and reasons at Part II Section 3(e) are true and correct and I support the PI's request for this procurement of the research-related software licence / dataset
- (h) this application does not include requests for purchasing normal academic equipment, computer, consumables, postage, fax, stationery, overseas telephone charges, and standard software licence / dataset known to be available or reasonably expected to be provided in the institutions concerned
- (i) this application
- has
- has not
- been scanned by anti-plagiarism software.

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

(Please tick '√' as appropriate in the boxes)

(a) Research Ethics / Safety Approval

I have examined the research proposal and confirm that:

- (i) the research proposal involves human subjects
- and human research ethics approval has been obtained.

approval is being sought.

exemption has been obtained.

exemption is being sought.

or

the research proposal does not involve human subjects.

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

	<u>Approval not required</u>	<u>Approval obtained</u>	<u>Approval being sought</u>
(i) Animal research ethics	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(ii) Biological safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iii) Ionizing radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(iv) Non-ionizing radiation safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
(v) Chemical safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

I have examined the research proposal and confirm that

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

required

not required

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

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

For (a) and (b) above, where such approval is required but has not yet been obtained, the institution will ensure that it will be obtained without delay. The institution understands that

GRF1

RGC Ref No.

if no confirmation of such approval is provided to the RGC by 30 April 2015, the RGC will regard this GRF application as being withdrawn and will stop further processing it.

RESEARCH GRANTS COUNCIL

GENERAL RESEARCH FUND (GRF) 2015/16

Explanatory Notes (GRF 2) for completing the Application Form

You must read this Explanatory Notes carefully before completing and submitting your research proposal. The Research Grants Council (RGC) 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 institution(s) before completion and submission of a GRF application. Please note that item numbers under Parts I to III in these notes correspond to those in the application form.
- (b) The form is in 3 parts, Part I : Summary of the Research Proposal; Part II : Details of the Research Proposal; and Part III : Institutional Endorsement and Declaration of Research Ethics/Safety.
- (c) For applications which have genuine special needs to be completed in a language other than English, applicant(s)/institution(s) are required to provide an English version on the Abstract and Research Details (Objectives and Long-term Impact, Background of Research and Research Plan and Methodology) in pdf file format.
- (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 following format may lead to disqualification of their applications.**

Font : Times New Roman

Font Size : 12 point

Margin : 1-inch all round

Spacing : Single-line spacing

PDF version: compatible with Adobe Acrobat Readers 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) When proposals are submitted through the Electronic System, a project reference number will be automatically generated for each of the proposals for identification purposes. The project reference number should be used and quoted in all future correspondence. While an application could be made to a particular panel, the RGC shall have the discretion to decide on the panel responsible for the final assessment of each application.
- (g) Hard copies of each proposal may need to be forwarded to the UGC Secretariat in May 2015. Institutions will be notified of the exact number of copies needed and the timing in April 2015.
- (h) 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 or have abused the purpose of the “Supporting Documents” in Section 13 of Part II of the application form (only supporting documents and letters of collaboration for the purpose of research ethics / safety approval are allowed to be attached). Applicants should not make use of Section 13 to supplement the contents of other sections.
- (i) 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 the disqualification of an application.
- (j) 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.
- (k) 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.
- (l) The on-costs related to research projects funded by the RGC will be disbursed to the institutions for their disposal. The UGC Secretariat will liaise with the Research Offices of the institutions on the calculation and

disbursement details separately. Principal Investigators are not required to include the calculation of on-costs on the application forms. They have to include the project costs only.

- (m) Unless otherwise stated, all funding levels stated in this application form are in Hong Kong Dollars.

INFORMATION UPDATE

- (n) A brief update of the proposal, if any, should be submitted through the GRF System to the UGC Secretariat on or before 30 April 2015, indicating any significant changes, e.g. changes in the eligibility of the Principal Investigators (PIs), , alternative funding obtained, declarations of similar/related proposals/projects, investigator(s)'s CVs, grant records, relationship with nominated reviewers, 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. The information update in hard copy should be appended to the proposals (number of copies required and timing will be confirmed separately) which should be submitted to the UGC Secretariat.
- (o) 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 30 April 2015. 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.
- (p) If an updated 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 30 April 2015. Evidence of approval should also be submitted at this stage.

ENQUIRIES

- (q) Enquiries about the contents of these Explanatory Notes and other related matters about the GRF funding exercise should be directed to the Research Offices of the Institutions which, if in doubt, should consult the UGC Secretariat for clarification. Also, correspondence regarding GRF matters including enquiries, appeals and complaints should be made through the Research Offices of the Institutions.
- (r) The guidelines on handling the information and personal data contained in GRF 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 institutions.

PART I SUMMARY OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

1. Particulars of the Project

- (a)(i) To encourage new appointees in the academia to apply under the GRF exercise, applicants are requested to declare under this section if they are within two years of full-time paid appointment to their first substantive position equivalent to staff grades 'A' (Professor) to 'I' (Assistant Lecturer) as defined in the CDCF in any university (local or non-local) at the time of the submission deadline of this funding exercise, and their proposals should be printed in green-colour paper for easy identification. New appointees within first three years of his / her full time academic job as a substantiation track / tenure track Assistant Professor or career equivalent level are encouraged to apply under the Early Career Scheme (ECS). However, grantees and awardees of the ECS are not allowed to apply again. Those who failed in previous ECS exercises are allowed to re-submit applications, which can be a new research topic or research topics previously applied but not supported, within the eligible period. Applicants may choose to submit their research proposals under the ECS or the GRF but not both in each funding cycle. For details, please refer to the Application Form for the Early Career Scheme (ECS 1 Aug 14).
- (ii) The project title should be informative, but short and concise. For all proposals, the primary and secondary fields of research and codes should be stated clearly under the "Project Title".
- (iii) All applicants 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)(i) The primary field area / code should be selected from among the list of field areas / codes as prescribed under the relevant subject area of the assessment panel to which the proposal is submitted. For example, if a proposal's primary field area / code is "Water (2106)", it should come under the subject area of "Civil Engineering, Surveying, Building & Construction (E1)" of the Engineering Panel. The schedules showing the field area descriptions and the corresponding codes are at Annex B(1) to B(5). A maximum of two fields are accepted. To facilitate the appointment of the right experts to evaluate the proposals, a PI should select a specific primary field area as far as possible. If a PI 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.

To indicate the inter-disciplinary nature of a proposal, a PI is allowed to select the secondary field area / code from an assessment panel which is different from that of the primary field area/code. Inter-disciplinary proposals will be evaluated jointly by experts from different panels. The RGC reserves the authority to decide whether an application is inter-disciplinary or not.

- (ii) Please give a maximum of five keywords to characterise the work of the proposal.
- (iii) Projects to be funded from the GRF should normally last for no more than three years except for applications for longer-term research grant, the objective of which is to cater for projects with a research objective(s) that can only be achieved in a time span of four to five years. For proposals of equal quality, preference will be given to proposals with higher impact, large scope and longer duration (three years and longer) over those with incremental advances and shorter duration.
- (c) A short abstract of a maximum of 400 words comprehensible to a non-specialist should be typed in the text box. This should be informative and indicative of the nature of the research to be conducted. One A-4 page of abstract in standard RGC format should be uploaded as pdf file only when there are special symbols which the system cannot support. If a proposal is funded, the “Abstract of Research” (Abstract) will be mounted 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, or an English version if the original Abstract is presented in Chinese.
- (d) For those applying for special funding templates, please refer to Enclosure I and II for Clinical Research Fellowship Scheme, Enclosure III for individual research, Enclosure IV for longer-term research grant, Enclosure V for employment of relief teachers under the Humanities and Social Sciences Panel, Enclosure VI for provision of research experience for undergraduate students and Enclosure VII for Support for Academic Research related to Public Policy Developments.

PART II DETAILS OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

RESEARCH DETAILS

This is the major portion of the proposal. It should be presented clearly and concisely and at the same time 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 application if insufficient/incomplete information is provided by on the application form.

1. Impact and Objectives

- (a) 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. 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, applicants should ensure that proposals submitted to the RGC should contain research elements which contribute to academic attainments. PIs should approach other funding authorities such as the Hong Kong Arts Development Council if their proposals have no research elements.
- (b) The objectives of the project must be presented in point form and reasons for undertaking the project.

Item 1(a) and (b) should be limited to 800 words.

2. Background of Research, Research Plan and Methodology

- (a) 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 summarized. 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.
- (b) A complete description of the research plan and the selected approach to the problem solution 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 applying funding for clinical trial, a protocol should be submitted in a separate pdf file as an addendum.

- (c) A maximum of two additional A-4 non-text pages for diagrams, photos, charts and tables, etc., if any.
- (d) The page limit in Sections 1 to 2 does not include references. All references should be provided in full and include all authors.

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 institutions which fail to screen out non-compliant applications.

Threshold Limits for Applications

The threshold limits for applications are \$150,000 for projects in the fields of Biology & Medicine, Engineering and Physical Sciences, and \$100,000 for projects in the fields of Business Studies and Humanities & Social Sciences.

Permissible Items

- A detailed budget for the project throughout the project period should be given. Applications for longer-term grant (i.e. more than three years) may include a budget for the 4th or 5th year as appropriate. Co-Is are not regarded as staff and must not be remunerated with salaries. Academic staff remunerated by any UGC-funded institutions 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 institution(s).

- In cases where a particular Research Assistant is employed for several projects, his 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.

3. Cost and justification

One-line Vote Items

(a)(A)(i) Supporting Staff

Please state the number, rank and cost of supporting staff involved. The RGC normally supports research support staff at the Research Assistant (RA) level. The grant assumes an indicative rate which is currently at \$229,000 per annum for RA and \$367,000 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 PIs concerned, whichever is lower. In the case of applications for funding for Post-doctoral Fellows, the CV of the post-doc in one A-4 page should be attached if available.

(ii) Equipment

While RGC may fully or partially fund the approved projects, institutions 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. 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 institutions concerned. Institutions may be required by the RGC to confirm the availability of institutional resources prior to their acceptance of an award. This is what the RGC means by “institutional commitment”.

For equipment, the following points should be addressed :

- Is the equipment essential to the project?
- Has the department / institution already provided such equipment?

- Is there similar equipment elsewhere in other institutions and what is the possibility of sharing?
- 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 institution already been provided with similar equipment? If yes, please explain the need for the purchase.
 - Is there similar equipment elsewhere in other institutions? If yes, please provide the following information regarding such equipment in other institutions 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 institutions 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 institutions currently and in the past two years; and
 - any other reasons that preclude the shared use of the equipment with other institutions.
 - 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 institutions other than the collaborating institutions under the application? If yes, please state the extent of shared use by other institutions such as the number of hours available for sharing per week.
- (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 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 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 sub-contracted out, for instance, data collection work, should not be the main intellectual focus of the research project;
- The persons/organizations providing the sub-contracting services should be at arm's length with the PIs or their serving institutions (for instance, employees, friends, relatives, subsidiary companies *etc.* should be avoided) and the procurement should be done in accordance with the institutional procedures and guidelines; and
- The PIs 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 PIs have to justify in their proposals to the Panels for approval. The corresponding RGC Panels will evaluate the merits and justification of the case according to the conditions specified above. For services/work over \$200,000, price quotations must be provided.

(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.

(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

(B)(vi) Relief Teacher

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 typical 24 to 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 institutions 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 institutions 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 institutions concerned. If the applicant or the institution 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 A-4 page should be attached, if available, for consideration by the RGC.

Please also state the current average teaching load. Institutions are requested to confirm that the applicant'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 November if and only if he / she will submit the completion report of his / her existing project (except HSSPFS) on or before 30 April in the following year. The concerned institution 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 30 April in the following year.

For employment of relief teachers under the Humanities and Social Sciences Panel, please see the Explanatory Notes at Enclosure V.

(vii) Research Experience for Undergraduate Students

For applying for provision of research experience for undergraduate students, please see the Explanatory Notes at Enclosure VI.

(viii) 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.

- (ix) Research-related Software Licence/ Dataset
For requests for purchase / subscription of database(s) under general expenses, price quotations should be provided. Requests without quotations may not be considered. The institution should not use the RGC Funds to purchase standard software licences / dataset.
- (xiv) Percentage of Research Work related to Public Policy Developments
For proposals involving academic research related to public policy developments, please state the percentage of the requested funding to be deployed in handling research work related to public policy developments.
- (b) to (d) Please confirm whether or not the requested equipment / high-performance computing services / research-related software / licence is available in the institution. If yes, please explain why such equipment / high-performance computing services / software cannot be used by the applicant(s).

4. Existing facilities and major equipment

Please elaborate the existing facilities and equipment available for this research project.

5. 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 institution 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 3(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 funds must not be spent on items that are prohibited unless it is explicitly allowed by the RGC.

DECLARATION OF SIMILAR OR RELATED PROPOSALS

6. Re-submission of a proposal not supported previously

- (a) PI needs to 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 other funding bodies. 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.

- (b)&(c) 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.

7. Submission of a new proposal or proposal similar or related to on-going and completed projects, and proposals pending funding approval

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 in this section may result in disqualification of the application and debarring from applying future UGC/RGC grants. In Section 7(a), PIs / Co-I(s) are required to explain the differences of all their applications submitted in this exercise in the capacity of PIs or Co-I(s) if their applications are similar or related. In Section 7(b) to (d), PIs and Co-I(s) should declare if the proposal is similar or related to any on-going and completed projects, and proposals pending funding approval. It is the RGC to make the final decision on whether two proposals/projects are similar. The judgment of the RGC is final. Therefore, it is always advisable for the PI or the Co-I(s) to declare similar or related proposals 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 similar or related proposals/projects 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 for separate funding.

8. Particulars of PI and Co-Is

- (a) Each application should be submitted with only one applicant nominated as the Principal Investigator (PI) and no applicant should submit more than one application in this capacity. Other joint applicants, if any, will be regarded as Co-investigators (Co-I). 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-investigators 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 institution with conditions of employment meeting ALL the following requirements:

- (i) having a full-time¹ appointment in the institution proper²;
- (ii) being in Staff Grades from 'A' to 'I'³ as defined in the Common Data Collection Format (i.e. from 'Professor' to 'Assistant Lecturer', see Annex C);
- (iii) being primarily engaged in and spending at least 80% of time in degree or higher degree work at the institution proper; and
- (iv) salary being wholly funded⁴ by the institution proper.

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

- (a) A newly appointed staff member should have formally entered into a contract of service with the Institution on or before the submission deadline of this funding exercise and that their appointments would take effect on or before 1 May 2015.
- (b) A staff member employed on a fixed term contract should be eligible at the time of funding award being offered in June 2015 and for at least the first year of the project's planned duration; or
- (c) A visiting scholar should have a full-time employment at the institution 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 institution concerned.

Notwithstanding the foregoing, cases of exceptional circumstances may be considered by the RGC on a case-by-case basis. The institution 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 institutions when submitting all RGC grant applications:

¹ Excluding part-time staff and staff holding honorary appointments.

² Excluding schools / arms of continuing education and professional training and other analogous outfits.

³ Excluding polytechnic staff grades.

⁴ Excluding staff members who is receiving income from paid appointments outside the institution proper or who is supported by external research grants.

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

* 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 Co-I(s) is/are RGC Panel Member(s) as at the deadline of the application.

- (b) This section should summarize the qualification of the 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 positions 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 the 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 A-4 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. Under the Biology & Medicine Panel, proposals of clinical, translational and epidemiologic studies should show evidence that members of the study team have collective experience with the relevant design, conduct and data analysis issues pertaining to the proposed study. Inclusion of an epidemiologist and/or a biostatistician in the study team is encouraged. If the research involves collaboration with other research

team(s) or institution(s), letters of collaboration should be attached to Section 13.

- (d) Please provide the percentage of work hours to be spent on the proposed project.

GRANT RECORD OF INVESTIGATORS

9. Details of Research Projects

- (i) Please provide details on each of the (a) unsuccessful or withdrawn or terminated proposals/projects submitted to the UGC/RGC in the past five years, as well as (b) on-going or completed projects funded from all sources which are undertaken by the PI (in capacity as PI/PC/Co-I/Co-PI). Please also provide the number of hours per week spent on each of the on-going projects except the involvement as Co-I in GRF projects.
- (ii) Please provide details on the on-going research projects funded from all sources which are undertaken by each Co-I (in only the capacity as PI).

ANCILLARY INFORMATION

10. Research ethics / safety approval and access to Government/ official/ private data and records

(a) Research ethics/ safety approval

It is the responsibility of the institution 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 institution 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 institution 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 institution 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 10(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 30 April 2015.

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

11. Proposed reviewers

The RGC encourages grant applicants to nominate external reviewers in their proposals for consideration by RGC panels. Panel members have found that the nominated lists of external reviewers are very helpful in assisting them to identify international peers to evaluate the proposals. The nomination of reviewers by the applicant(s) is optional, but is highly encouraged especially the research is a very specialised area. The PI assumes full responsibility for reporting all the relationship(s) between himself/herself as well as his/her Co-Is with each of nominated external reviewers. To avoid any possible or perceived conflict of interests, nomination of external reviewer(s) having any of the following relationship(s) with either PI or Co-Is or both should be avoided:

- (i) Advisor or Advisee relationship (such as Tutor and PhD student relationship).
- (ii) Co-authorship of papers or publications less than seven years ago.
- (iii) Co-authorship of patents.
- (iv) Partnership or co-organizers of major events less than seven years ago.
- (v) Colleagues employed in the same department of an institution or organization less than seven years ago.
- (vi) Collaborator in research projects or programme (Co-I or Co-PI of proposals) less than seven years ago.
- (vii) Long-time personal friends.
- (viii) Serving in the same editorial board with an appointor-appointee relationship.

Applicants are required to declare in the application forms their full relationship with the nominated reviewers, for fairness and transparency. Any undeclared relationships existed between the PIs and Co-Is and the nominated external reviewers, and subsequently come to the attention of the RGC will be treated most seriously, and may result in disqualification and debarring from applying future UGC / RGC grants. Any change or update in relationships between investigator(s) and nominated reviewers

should also be reported to the RGC by 30 April 2015 when submitting the proposal updates.

It is the collective responsibility of all applicants involved, i.e. PI and Co-I(s), in a grant application to complete Section 11 accurately and fully. PIs should ensure that Co-I(s) understand the requirements and has/have declared all the relationships with the nominated external reviewers. Failing to do so may render the disqualification of the application and other debarment of applying future UGC/RGC grants for a certain period of time.

If, for any reason of possible conflict of interest, an applicant wants to exclude a person from reviewing his or her application, he or she should submit the request in writing separately through the respective Research Office setting out the full circumstances and justification. Such request should not be made under any section of GRF1 which in its entirety will be sent to external reviewers for assessment. In all cases, the RGC reserves the right of final decision on the selection and invitation of external reviewers having regard to the merits involved.

12. 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 (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. PI 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.

Public access of publications resulting from research funded by the RGC

- (i) Upon acceptance of a paper for publication, the 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 institutional repository for open access;
- (ii) if both (i)(A) and (B) are not allowed, the PI should request the publisher to allow him/her to place either version in his/her institutional repository for restricted access immediately upon publication or after an embargo period of up to twelve months if required by the publisher; and

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

13. Education Plan, Letters of Collaboration and Supporting Documents

Education Plan

PIs are required to provide the proposed educational activities relating to the proposed research.

Letters of Collaboration and Supporting Documents

Only letters of collaboration and supporting documents (e.g. ethics / safety approval letters) are allowed. Applicants should not make use of this section to supplement the contents of other sections. Applications will be disqualified if the proposals are found to have abused the purpose of this section.

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

[To be completed by the appropriate authority of the PI's institution]

INSTITUTIONAL ENDORSEMENT

1. Staff eligibility requirement for GRF

The institution should confirm that it has evaluated and given support to the application before submission to the RGC. The institution is also required to confirm that (i) a PI fully meets the criteria for the GRF grant, including the eligibility rules of Individual Research and Longer-term Research; (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 (iii) the applicant will have the number of hours per week as declared in Part II Section 8(d) to supervise the proposed project without prejudice to his / her existing commitment in other research work, teaching and administrative duties.

The institution 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.

INSTITUTIONAL COMMITMENTS

2. Support to PI and students

The institution should commit the provision of a monthly allowance of \$1,250 to the undergraduate student helper up to a maximum period of ten months if this proposal is funded.

The institution is required to verify and confirm whether the GRF 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 RPg students and / or undergraduate students should not be used to justify any delay of project completion nor unsatisfactory project performance.

For items (d) to (h), please see the notes for Sections 3(b) to (d) in Part II.

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

- (a) The institution 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 institutions to ascertain if they involve human subjects. If they do, the institutions must give approval / exemption according to their internal ethics guidelines by 30 April 2015 as is the case with other ethics / safety approval. If the institution is unable to confirm by 30 April 2015 that the required approval has been obtained, the RGC will stop processing the application which will be regarded as to have been withdrawn.
- (b) The institution 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 institution is unable to confirm by 30 April 2015 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 institution / 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 institution.

UGC Secretariat
August 2014

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 institution, 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; and
- (d) compilation of periodic reports and statistical returns for analysis and research by the RGC / UGC in relation to the use of public funds.

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 institutions.

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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List of Research Field Areas and Code
for Biology & Medicine Research Proposals

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
Other Biological Sciences (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

Annex B (1)

Molecular Diagnostics	1240
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
Personalized Medicine	1252
Rehabilitative and Physical Medicine	1254
Stem Cell Therapy	1256
Others	1299
(please specify :)

List of Research Field Areas and Code
for Engineering Research Proposals

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	2199
(please specify :)	

Computing Science &
Information Technology
(Subject Area : E2)

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

List of Research Field Areas and Code
for Engineering Research Proposals

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	2399
(please specify :)	

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
Production & Manufacturing	2408
Robotics & Automation	2409
Textile	2410
Thermal	2411
Biomechanics	2412
Fuel Engineering	2413
Others	2499
(please specify :)	

List of Research Field Areas and Code
for Physical Sciences Research Proposals

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	3199
(please specify :)	

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	3299
(please specify :)	

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	3399
(please specify :)	

List of Research Field Areas and Code
for Humanities and Social Sciences Research Proposals

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
English Languages and Literature	4121
Chinese Languages and Literature	4122
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

Annex B (4)

Field Area	Code
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
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

Annex B (4)

Field Area	Code
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

List of Research Field Areas and Code
for Business Studies Research Proposals

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	5111
Statistical Methods	
Risk and insurance management	5112
Others - relating to Business	5199
Studies (please specify :)	

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”
