

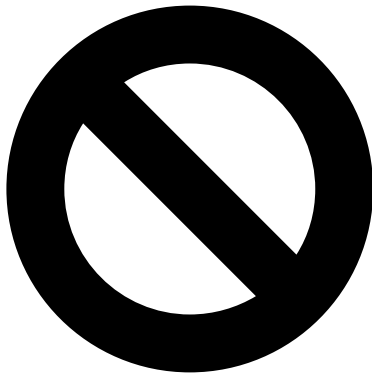
**Budget Issues –
Inter-Institutional Development Scheme
and
Faculty Development Scheme**

**Research Office
29 November 2021**

General Notes

- Itemize and provide **breakdown** for each budget item
- Provide **detailed justification / description** for each budget item
- Provide **price quotation** for an item costing above HK\$200,000
- Budget **contingency** costs (in case of inflation or some unexpected situations, around 5 to 10% of the total budget)

Impermissible items



Salary, honorarium or any forms of payments for project team members, academic staff of local self-financing degree-awarding institutions and/or academic staff remunerated by any UGC-funded universities

Insurance and personal expenses for overseas conference participation as well as visits by overseas speakers

Personal electronic devices

- Smartphones, tablets, iPod, iPad, MP3 players, digital cameras / video recorders, personal digital assistants (PDAs), etc

Standard office equipment

- Personal computers, laptop computers, printers, scanners, etc
- Servers, standard software / software licence / dataset, etc

Funding Thresholds

Schemes	Threshold								
FDS	HK\$100,000 (B/H panel) or HK\$150,000 (M/E/P Panel) to HK\$1.2 million (<i>unless with well argument and support</i>)								
IIDS	No funding threshold or upper limit								
IDS(R)	<table border="1"> <thead> <tr> <th>No. of full-time academic staff</th> <th>Funding ceiling (\$m)</th> </tr> </thead> <tbody> <tr> <td>≤40</td> <td>3 (student no ≤50) 6 (student no ≥51)</td> </tr> <tr> <td>41-130</td> <td>8</td> </tr> <tr> <td>≥131</td> <td>14</td> </tr> </tbody> </table>	No. of full-time academic staff	Funding ceiling (\$m)	≤40	3 (student no ≤50) 6 (student no ≥51)	41-130	8	≥131	14
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≤40	3 (student no ≤50) 6 (student no ≥51)								
41-130	8								
≥131	14								
IDS(C)	HK\$2 million to HK\$10 million, inclusive of 15% on-costs								

**Budget for
Inter-Institutional Development Scheme
(IIDS)**

Inter-Institutional Development Scheme (IIDS)

- All are direct costs and have **Five** budget items only
 - Air passage
(up to business class roundtrip air passage by the most direct route)
 - Hotel accommodation and subsistence allowance (cannot cover insurance and other personal expenses)
 - Honorarium
 - Organising cost: Venue booking fee and Printing expenses
(if the events will be hosted in SYU or Co-PI / Co-I's institution, the project team cannot charge venue booking fee)
 - Others (e.g.: student assistant fee, event organiser, networking luncheon and dinner with speakers, etc)
- Three observations
 - **Wrongly split the budget item**
 - **Misuse “organising cost”**
 - **Not able to utilize the “others”**

IIDS: Bad example

(i) Air passage	\$ 20,000 x 6 speakers	=HK\$	120,000
(ii) Hotel accommodation	\$ 2,500 x 6 speakers x 6 nights	=HK\$	90,000
(iii) Subsistence allowance: Transportation between Hong Kong airport and hotel & Transportation between hotel and the conference/short course venue	\$ 1,000 x 6 speakers	= HK\$	6,000
(iv) Subsistence allowance: Cash allowance for speakers	\$ 500 x 6 speakers x 6 days	= HK\$	18,000
(v) Honorarium	\$ 5,000 x 6 speakers x 8 hours	=HK\$	240,000
(vi) Organizing costs		=HK\$	106,000
‣ Venue	\$ 0	=HK\$	N/A
‣ Printing	\$ 1,000 x 4 days	=HK\$	4,000
‣ Production of promotional materials (e.g. production and design of posters/flyers and souvenirs)	20,000	= HK\$	20,000
‣ Design and production of conference website	50,000	= HK\$	50,000
‣ Professional / academic luncheons and dinners for keynote speakers and team members	5,000 x 4 days	= HK\$	20,000
‣ Refreshments for conference participants	3,000 x 4 days	= HK\$	12,000
(vii) Others (please specify)		=HK\$	72,200

50% was cut.

“Hotel / subsistence allowance” is **ONE** item. **Don’t split.**

ALL were cut.

Don’t put extra sub-items under “organizing costs”

IIDS: Good example (1)

(A) Direct Cost								
(i)	Air passage	\$	20,000	x	8	speaker(s)	=HK\$	160,000
(ii)	Hotel accommodation / Subsistence allowance ^{N3} (HK\$2,800 per day per speaker)	\$	2,800	x	8	speaker(s) x 5 night(s)	=HK\$	112,000
(iii)	Honorarium*	\$	20,000	x	8	speaker(s)	=HK\$	160,000

✓ Daily cost per speaker

(iv) Organizing costs								
▶	Venue	\$	N/A				=HK\$	0
▶	Printing (Promotional Banner/backdrop/ posters)	\$	1,640	x	8	seminars/ workshops	=HK\$	13,120

✓ Organising costs contain “venue” and “printing” ONLY

IIDS: Good example (1) (cont'd)

(v) Others (please specify)					
‣ Professional/academic luncheons and dinners	\$	2,200	x	8	seminars/ workshops
					=HK\$ 17,600
‣ 4 student helpers per event (\$55 per hour x 8 hours (including preparation time) x 4 persons x 8 events)	\$	14,080			
					=HK\$ 14,080
‣ Research impact related: Publicity materials/Website development/Educational manuals for public	\$	5,000			
					=HK\$ 5,000
‣ Videotaping fees	\$	1,500	x	8	seminars/ workshops
					=HK\$ 12,000
‣ Book publication (including design and printing of 60 copies)	\$	20,000			
					=HK\$ 20,000
‣ Refreshment for seminar/workshop attendees	\$	2,300	X	8	seminars/ workshops
					=HK\$ 18,400
‣ Souvenirs for speakers (\$300 per speaker x 8 speakers)	\$	300	x	8	seminars/ workshops
					=HK\$ 2,400
‣ Miscellaneous (e.g. visa application fee for overseas speakers, transportation costs for pick-up visa, mailing of visa, and contingency arising from unpredictable circumstances, etc.)	\$	20,000	x	1	
					=HK\$ 20,000

Fully funded.

✓ Put other necessary expenses under **“Others”**

IIDS: Good example (2)

(A) Direct Cost

(i) Air passage 1 speaker for public seminar and 6 speakers for conference	\$ 20,000	x	7	speaker(s)		=HK\$ 140,000
(ii) Hotel accommodation Public seminar	\$ 2,800	x	1	speaker(s)	x	2 night(s) =HK\$ 5,600
Conference	\$ 2,800	x	6	speaker(s)	x	3 night(s) =HK\$ 50,400
(iii) Honorarium* Public Seminar	\$ 20,000	x	1	speaker(s)	x	1 hour(s) =HK\$ 20,000
Conference	\$ 8,000	x	6	speaker(s)	x	2 hour(s) =HK\$ 96,000

✓ Hotel accommodation/ Honorarium per event

(iv) Organizing costs

4 events – public seminar, conference, round table and training workshop
 ▶ Venue#
 Hong Kong Central Library Theatre
 (3 hours plus 1 hour setting up)

\$ 2,015

=HK\$ 2,015

✓ Organising costs contain “venue” ONLY

IIDS: Good example (2) (cont'd)

(v) Others (please specify)				
▶ Application fees for professional entry visas for the keynote speakers	\$ 200	x 7	speakers(s)	=HK\$ 1,400
▶ Event Helpers for conference	\$ 55	x 20	helper(s) x 10 hour(s)	=HK\$ 11,000
▶ Application fee and the advertisement fee for accreditation of continuing professional development (CPD) program (\$800 + \$2,500)	\$ 3,300			=HK\$ 3,300
▶ Video recording	\$ 5,000	x 4	events	=HK\$ 20,000
▶ Production of online promotional materials	\$ 5,000	x 4	event(s)	=HK\$ 20,000
▶ Refreshment	\$ 5,000	x 4	event(s)	=HK\$ 20,000
▶ Souvenir for speakers	\$ 200	x 7	speakers	=HK\$ 1,400
▶ Academic Luncheons	\$ 5,000	x 4	event(s)	=HK\$ 20,000
▶ Event souvenirs	\$ 5,000	x 4	event(s)	=HK\$ 20,000
▶ Transportation between Hong Kong airport and hotel & Transportation between hotel and the event venue	\$ 1,000	x 7	speaker(s)	=HK\$ 7,000

Fully funded.

✓ Put other necessary expenses **under "Others"**

**Budget for
Faculty Development Scheme (FDS)**

Faculty Development Scheme (FDS)

- One-line vote and earmarked items
- RGC becomes more stringent in approving **one-line vote items** for 2021/22 Exercise. We recommend PIs must provide **detailed justifications / descriptions** for the requested items (the more specific the better)
- RO's analysis on funding results of 2021/22 Exercise:
 - Both proposals with requested "**General Expenses**" fully funded provided detailed justifications (explained in detail why the expenses are necessary for the project)
 - **100%** had the requested "**Costs for Employment of Relief Teacher**" fully funded
 - **100%** had the requested "**Conference Expenses**" fully funded (HK\$20,000 per project year)

FDS – One line Vote Items

One-line vote item	Important notes for justification part
Supporting staff costs: <i>RA / SRA / student assistant</i>	<ul style="list-style-type: none"> ➤ Please describe their duties in details, and their duties are different from the PIs' duties ➤ Employment of research staff at SRA is generally not recommended by RGC
General expenses	<ul style="list-style-type: none"> ➤ Provide details and calculation for each sub-item
Expenses for dissemination of research deliverables	<ul style="list-style-type: none"> ➤ Put down the names of journals that you may consider submitting to ➤ <i>Suggestion:</i> Expenses for printed materials related to RESEARCH IMPACT
Equipment expenses	<ul style="list-style-type: none"> ➤ Please check with IT office that the equipment is not available in SYU ➤ Please provide details why the equipment is essential to project implementation
Conference expenses <i>HK\$20,000 per project year</i>	<ul style="list-style-type: none"> ➤ Try to put down conferences which cost HK\$20,000 per trip (e.g. name of the potential conferences, airfare, hotel accommodation, registration fee etc.)
Outsourcing research work outside HK	<ul style="list-style-type: none"> ➤ RGC expects that all research works are conducted in Hong Kong ➤ Provide strong justifications for outsourcing the work outside Hong Kong

FDS – Good examples (staff costs)

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year</u> <u>3</u> <u>(HK\$)</u>	<u>Total</u> <u>(HK\$)</u>
(A) <u>One-line Vote Items</u>				
(i) Supporting Staff Costs <i>(Monthly Salary x Nos. x Months)</i>	315,334	305,654	N/A	HK\$ 620,988
<u>Details:</u>				
▸ Senior Research Assistant(s)	N/A	N/A	N/A	N/A
▸ Research Assistant x 1 (HK\$23,490 x 1.05 (MPF) x 24 months = HK\$591,948)	295,974	295,974	N/A	591,948
▸ Post-doctoral Fellow(s)	N/A	N/A	N/A	N/A
▸ Research Postgraduate Student(s)	N/A	N/A	N/A	N/A
▸ Others 2 student assistants (528 hours x HK\$55)	19,360 (352 hrs)	9,680 (176 hrs)	N/A	29,040

✧ Put down the no. of “RA” requested, without indicating “Full-time” / “Part-time”, to avoid submitting change request in future

FDS – Good examples (staff costs)

Justification:

Research Assistant (RA): As the proposed project is a 2-year longitudinal panel study that involves 2 waves of data collection 12 months apart, we need a competent full-time RA to carry out a number of tasks throughout the research process. The RA is responsible for the following tasks: review additional literature, help the PI plan and conduct the post-panel focus groups, assist the PI to design and prepare the questionnaire, conduct pilot testing of the survey instruments, devise the sampling frames for the paper-based survey of the Gen Z at the universities, help the logistics in soliciting permission from university professors for entering the classroom for data collection, serve as administrator during the 2-wave CATI sessions; supervise student helpers in data collection and data entry (for paper-based surveys), help with logistics in sending out incentives (e.g., cash coupons), assist the PI to analyze the data, prepare materials for the press conference, and draft the preliminary reports.

The RA should preferably have a master degree in social science with strong background in quantitative research methods and statistical techniques.

Student Helpers:

Student helpers are responsible for: making photocopies of the questionnaire for the paper-based survey for the Gen Z (university students in Wave 1); making calls to professors for appointments; delivering and collecting questionnaires in the classrooms; and doing data entry to SPSS. During Wave 2, student helpers are needed to re-contact the respondents who participated in Wave 1 after 12 months and to administer the survey again in Wave 2. We expect a 50% dropout rate at Wave 2. As a result, student helpers are hired for follow-up on respondents who indicated interest in the panel study in Wave 1 and to encourage them to participate in Wave 2 with a \$200 coupon as incentives. Student helpers will also assist the logistics of contacting, tracking, keeping records and giving out incentive coupons in both Waves of data collection, and helping organize the two press conferences for reporting the findings.

Requested staff cost fully funded.

- ✓ Duties of RA
- ✓ Mention the required qualifications of RA

FDS – Good examples (general expenses)

<p>(iv) General Expenses <i>[please itemize and provide quotations for services / purchase costing over HK\$200,000; and provide detailed justification of sample sizes and costs for surveys conducted in Hong Kong.]</i></p> <p>Quotation(s) Provided: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	152,394	154,500	N/A	HK\$ 306,894
<u>Details:</u>				
<ul style="list-style-type: none"> ▸ Incentives for N=12 participants to engage in the <u>Post-Wave 2</u> Panel Survey Focus Group Participation fee: \$200 * 12 = \$2,400 Refreshment: \$600 	N/A	3,000	N/A	3,000
<ul style="list-style-type: none"> ▸ Incentives for interviewees: <u>Coupons</u> Wave 1 in Year 1 (n=1,500): HK\$100 cash coupons x 1,500 persons ▸ Wave 2 in Year 2 (50% fatality; n=750): HK\$200 cash coupons x 750 persons ▸ Postage for sending the incentive coupons to 1,947 (i.e., 494 Gen X+ 703 Millennials = 1,197 for Wave 1 and 750 for Wave 2) participants with 303 coupons will be given to the Gen Z participants in class in Wave 1. ▸ Therefore, the postage cost is: ▸ Year-1: HK\$2 x 1,197 ▸ Year-2: HK\$2 x 750 	150,000	150,000	N/A	300,000
	2,394	1,500	N/A	3,894

- ✓ Itemize
- ✓ List out all sub-items
- ✓ calculation

FDS – Good examples (general expenses)

Justification:

Incentives for focus groups participants:

To express the researchers' gratitude to all participants of the post-Wave 2 panel survey focus groups, participants (N=12) will be paid \$200 for the focus group session. The focus group will last for 2 hours and refreshment will be provided to create a relaxing atmosphere for all to speak their mind in a well-structured and well-moderated focus group. The purpose of the focus group is to help interpret the findings qualitatively.

Incentives for the longitudinal panel survey participants:

As the scope of the study involves a large number of variables and it will last 17-20 minutes to complete, incentives such as supermarket coupons are the best enticements to solicit participation in completing the surveys. This study will reward respondents with \$100 coupons for completing the Wave 1 panel survey questionnaire (N=1,500) and \$200 for Wave 2 for the participants. We expect a 50% drop-out rate, the final sample size in Wave 2 will be approximately (N=750).

- ✓ Provide detailed justification for each sub-item

- How many? (no. of participants)
- How much? (value of the incentives)
- Why? (reasons of distributing the incentives e.g. relaxing atmosphere / solicit participation)

FDS – Earmarked Items

Earmarked item	Important notes for justification part
Costs for Employment of Relief Teacher	<ul style="list-style-type: none"> ➤ RGC tends to grant at most 6-credit of teaching relief per academic year, no matter what the project duration is ➤ Please explain how you will spend the relief time on conducting research work ➤ The research work you conducted shall be distinct from the duties taken by RA ➤ Regarding to the employment of relief teacher, a PI can only use the grants for teaching relief, including those from ongoing and new projects, to cover <u>a maximum of 50%</u> of his / her teaching load.
Provision of Research Experience for <u>ONE</u> Undergraduate Student (HK\$2,500 per month for 10 months)	<p>RGC requires the following details:</p> <ul style="list-style-type: none"> ➤ objectives and activities; ➤ appropriateness of the research project for the UG student’s involvement; ➤ process and criteria for selecting the student; and ➤ the intended impact.
High-performance Computing Services Expenses	<ul style="list-style-type: none"> ➤ Requests without quotations may not be considered ➤ Please check with IT office that the requested item is not available at the University ➤ Please tell why the item is necessary for conducting the project
Research-related Software Licence / Dataset	

Resources: Research Office's website

- HKSYU's internal timeline for submitting and reviewing proposals:

<https://ro.hksyu.edu/en/resources.php?cate=6&page=2>

- Sample FDS, IIDS and IDS(C) budgets:

<https://ro.hksyu.edu/en/resources.php?cate=43>

- Previous seminars on writing grant proposals:

<https://ro.hksyu.edu/en/resources.php?cate=15>

- Sample proposals of previous successful applications:

<https://ro.hksyu.edu/en/resources.php?cate=16>

THANK YOU.
