

Budget Issues for Applications to RGC's Competitive Research Funding Schemes, 2020-21

Research Office
26 November 2019

General – Important Notes

- Itemize and provide **breakdown** for each budget item
- Provide **detailed justification** for each budget item
- Provide **price quotation** for an item costing above HK\$200,000
- Budget **contingency/miscellaneous** costs for sundry items and expenses arising from unpredictable circumstances

General - Non-permissible items

- **Salary and honorarium** for PC, PI, Co-PIs, Co-Is and any academics from local UGC-funded and self-financed institutions
- **Regular operational costs**
 - Building/renovation/construction work, stationery, reference books, postage, fax, overseas telephone charges, etc
- **Standard equipment**
 - desktop PCs, servers, laptop computers, printers, scanners, etc
- **Personal electronic devices**
 - cell phones, smartphones, tablet computers, iPod, iPad, digital cameras/video recorders, etc
- **Standard software/software licence**
- **Insurance and personal expenses** for overseas travel by staff as well as incoming visits by overseas speakers
- **[For IIDS]** Venue charges for event hosted in SYU; research or administrative support staff

General – Internal Guidelines for Budgeting Staff Costs

(<https://ro.hksyu.edu/en/resources.php?cate=7&page=4>)

Rank	Salary Rate (HKD)
Full-time Research Assistant	\$23,490/month + 5% MPF (Rate for part-time = \$11,745 + 5% MPF)
Full-time Senior Research Assistant (not recommended for hiring by RGC)	\$37,690/month + 5% MPF
Full-time Post-doctoral Fellow	\$42,000/month + 5% MPF
Student Helper / Student Research Assistant	\$55/hour
[For FDS only] UG Students under “Provision of Research Experience for Undergraduate Students” Scheme	\$2,500 per month x a max. of 10 months
Relief Teacher (at a rank lower or equivalent to that of PC/PI/Co-PI)	[For a 3-credit course] \$9,000/month x 5 months = \$45,000

Notes: IIDS projects are only allowed to recruit hourly rate student helpers for event assistance.

Budget Sample for Faculty Development Scheme (FDS) and Institutional Development Scheme Collaborative Research Grant (IDS(CRG))

Notes:

*The items and figures suggested in the sample are **for reference only**. Please take into account various factors e.g. project size, scopes/complexity/location of fieldwork, etc., when you prepare your own budget.*

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year 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>	300,374	152,387	N/A	HK\$ 452,761
<u>Details:</u>				
- Senior Research Assistant(s)	N/A	N/A	N/A	N/A
- Research Assistant(s) · 1 Full-time RA for the first 12 months (HK\$23,490 x 1.05 (MPF) x 12) · 1 Part-time RA for the remaining 12 months (HK\$11,745 x 1.05 (MPF) x 12)	295,974	147,987	N/A	443,961
- 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 (please specify the post) - 2 student helpers; 40 hours each (2 x HK\$55 x 80 hours)	4,400	4,400	N/A	8,800
Justification:	<ul style="list-style-type: none"> - Please clearly describe the respective duties of each support staff. - Employment of research staff at RA level is suggested. - Employment of research staff at SRA rank is generally <u>not</u> recommended by RGC. A very strong justification must be provided for employment of SRA. - For employment of Post-doctoral Fellow, a CV of the candidate is needed to be provided, if available. 			

<p>(ii) Equipment Expenses <i>[please itemize and provide quotations for each item costing over HK\$200,000]</i></p> <p>Quotation(s) Provided: Yes <input type="checkbox"/> No <input type="checkbox"/></p>	N/A	N/A	N/A	<table border="1"> <tr> <td>HK\$</td> <td>0</td> </tr> </table>	HK\$	0
HK\$	0					
<p><u>Details:</u></p>						
<p>Justification:</p>	<p>(If any equipment is proposed, please ensure that the required equipment is not available at the University, but is necessary for conducting the project. Please detail how the equipment facilitates the research to justify the costs.)</p>					
<p>(iii) Outsourcing Expenses of Research Work Outside Hong Kong <i>[please itemize your cost estimation with justification and provide quotations for each work costing over HK\$200,000; and provide detailed justification of sample sizes and costs for surveys conducted outside Hong Kong.]</i></p> <p>Quotation(s) Provided: Yes <input type="checkbox"/> No <input type="checkbox"/></p>	N/A	N/A	N/A	<table border="1"> <tr> <td>HK\$</td> <td>0</td> </tr> </table>	HK\$	0
HK\$	0					
<p><u>Details:</u></p>						
<p>Justification:</p>	<p>(RGC expects that all research works are conducted by the project team and carried out in Hong Kong. Please provide strong justifications for outsourcing the work outside Hong Kong to convince the assessment panel.)</p>					

<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> Quotation(s) Provided: Yes <input type="checkbox"/> No <input checked="" type="checkbox"/></p>	22,500	22,500	N/A	HK\$ 105,000
Details:				
<p>▸ <u>Research impact related:</u> Production of videos of case studies for frontline practitioners' use</p>	N/A	60,000	N/A	60,000
<p>▸ Incentives for interviewees (HK\$50 cash coupons x 200 persons)</p>	5,000	5,000	N/A	10,000
<p>▸ Local travelling expenses for RA/student helpers (HK\$50 x 2 persons/trip x 100 trips)</p>	5,000	5,000	N/A	10,000
<p>▸ Fieldwork to Beijing for 5 days in 1st year (flight at econ class: \$4,000; accommodation: \$5,000; local transport and meals: \$1,500)</p>	10,500	N/A	N/A	10,500
<p>▸ Fieldwork to Beijing for 5 days in 2nd year (flight at econ class: \$4,000; accommodation: \$5,000; local transport and meals: \$1,500)</p>	N/A	10,500	N/A	10,500
<p>▸ Miscellaneous (e.g. sundry expenses for interview surveys, souvenir for collaborators, contingency costs for unexpected circumstances, etc)</p>	2,000	2,000	N/A	4,000
<p>Justification:</p>	<ul style="list-style-type: none"> - Provide detailed justification for each item - For non-printed materials (such as event organization and website development) related to research impact, the expenses can be put under this item. 			

	<u>Year 1</u> <u>(HK\$)</u>	<u>Year 2</u> <u>(HK\$)</u>	<u>Year 3</u> <u>(HK\$)</u>	<u>Total</u> <u>(HK\$)</u>
(v) Conference Expenses <i>[up to HK\$20,000 per year]</i>	20,000	20,000		HK\$ 40,000
Justification:	<ul style="list-style-type: none"> - Please list out some potential conferences (conference name, venue & duration) which you plan to attend - Please provide breakdown of expenses for each conference, including registration fee, flight ticket at economy class, accommodation and local transportation expenses. 			
(vi) Expenses for Dissemination of the Deliverables of Research	N/A	36,000	N/A	HK\$ 96,000
<u>Details:</u>				
▸ <u>Copyediting fee for 2 articles</u>	N/A	16,000	N/A	16,000
▸ <u>Publication/submission fee for 2 articles</u>	N/A	20,000	N/A	20,000
▸ <u>Research impact related: Educational manuals for public (including design and printing of 2,000 copies)</u>	N/A	60,000	N/A	60,000
Justification:	<ul style="list-style-type: none"> - Please suggest some potential publishers which are reputable to justify the expenses. - Expenses for publicity materials related to <u>research impact</u> can be put under this item. 			
Sub-total for (A) (One-line Vote Items):				HK\$ 693,761

(B) Earmarked Items					
<p>(vii) Costs for Employment of Relief Teacher</p> <ul style="list-style-type: none"> ▶ Rank of Relief Teacher: (please specify the rank) Lecturer / Senior Lecturer / Asst Prof (a rank equivalent to or lower than the PI) <hr/> ▶ Proposed Monthly Salary x Months: 9,000 x 5 months per course <p><u>Supplementary Information:</u></p> <ul style="list-style-type: none"> ▶ Number of course(s) the PI is currently teaching in an academic year: 10 courses <i>[please include course(s) for locally-accredited local degree or higher degree work only]</i> ▶ Number of course(s) the Relief Teacher will teach in an academic year: 2 courses <i>[please include course(s) for locally-accredited local degree or higher degree work only]</i> 	90,000	90,000	N/A	HK\$ 180,000	
<p>Justification:</p>	<ul style="list-style-type: none"> - Please mention how you will spend the relief time on conducting research work of this project. - The research work you conducted shall be distinct from the tasks conducted by RA or student helper. 				

<p>(viii) Provision of Research Experience for <u>ONE</u> Undergraduate Student</p> <p><i>[For FDS only, a max allowance of \$2,500/month for a max of 10 months only]</i></p>	N/A	N/A	N/A	<table border="1"> <tr> <td>HK\$</td> <td>0</td> </tr> </table>	HK\$	0
HK\$	0					
<p>Details and Justification:</p>	<p>If this expense is proposed, PI needs to provide further information required by RGC:</p> <ul style="list-style-type: none"> - objectives and activities; - appropriateness of the research project for the UG student's involvement; - form and nature of the student's involvement in the research project; - process and criteria for selecting the student; and - the intended impact. <p><i>(Unless PI has a targeted UG student who is committed, otherwise PI is recommended to propose student helper fee under "Supporting staff cost" item.)</i></p>					
<p>(ix) High-performance Computing Services Expenses <i>[up to HK\$100,000]</i></p> <p>Quotation(s) Provided:</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	N/A	N/A	N/A	<table border="1"> <tr> <td>HK\$</td> <td>0</td> </tr> </table>	HK\$	0
HK\$	0					
<p>Justification:</p>	<p><i>(If this item is proposed, please ensure that the required computing service is not available at the University, but is necessary for conducting the project. Please detail how the service facilitates the research to justify the costs.)</i></p>					
<p>(x) Research-related Software Licence / Dataset <i>[please itemize and provide quotations for each item]</i></p> <p>Quotation(s) Provided:</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>	N/A	N/A	N/A	<table border="1"> <tr> <td>HK\$</td> <td>0</td> </tr> </table>	HK\$	0
HK\$	0					
<p>Justification:</p>	<p><i>(If this item is proposed, please ensure that the required software/dataset is not available at the University, but is necessary for conducting the project. Please detail how the software/dataset facilitates the research to justify the costs.)</i></p>					

Budget Sample for Inter-Institutional Development Scheme (IIDS)

Notes:

*The items and figures suggested in the sample are **for reference only**. Please take into account various factors e.g. location of the event, number of participants, reputation of speakers, etc., when you prepare your own budget.*

(A) Direct Cost							
(i)	Air passage	\$	20,000	x	8 speaker(s)	=HK\$	160,000
(ii)	Hotel accommodation / Subsistence allowance (Hotel/night: \$2,000; subsistence allowance/day: \$800)	\$	2,800	x	8 speaker(s) x 5 night(s)	=HK\$	112,000
(iii)	Honorarium	\$	20,000	x	8 speaker(s)	=HK\$	160,000
(iv)	Organizing costs						
	▶ Venue	\$	N/A			=HK\$	0
	▶ Printing (Banner/backdrop/ posters)	\$	3,000	x	8 seminars/ workshops	=HK\$	24,000
	▶ Professional/academic luncheons and dinners	\$	3,000	x	8 seminars/ workshops	=HK\$	24,000

(v) Others (please specify)

▶ 4 student helpers per event (\$55 per hour x 6 hours (including preparation time) x 4 persons x 8 events)	\$ 55	x	8	seminars/ workshops	x	24	hours	=HK\$ 10,560
▶ Research impact related: Educational manuals for public (including design and printing of 2,000 copies)	\$ 60,000							=HK\$ 60,000
▶ Refreshment for seminar/workshop attendees (\$4,000 per event x 8 events)	\$ 4,000	X	8	seminars/ workshops				=HK\$ 32,000
▶ Souvenirs for speakers (\$200 per speaker x 8 speakers)	\$ 200	x	8	seminars/ workshops				=HK\$ 1,600
▶ Videotaping fees (\$1,000 per event x 8 events)	\$ 1,000	x	8	seminars/ workshops				=HK\$ 8,000
▶ 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

Reminder: Internal Timeline

Task	Deadline
Submission of initial FDS proposals to HoDs/AVP	4 December 2019
Submission of full IIDS and IDS(CRG) proposals for URC's approval	13 January 2020
<i>(University's Lunar New Year Holiday: 24 January to 31 January 2020)</i>	
<ul style="list-style-type: none"> Submission of full FDS proposals for AAVP(UR)'s approval Submission of revised IIDS and IDS(CRG) proposals which were endorsed by URC 	1 February 2020 <i>(Proposals received by 1 Feb 2020 will be sent out for copy-editing. If colleagues do not need the copy-editing services, they can submit the proposals a few days later.)</i>
Submission of Final FDS, IIDS and IDS(CRG) proposals for final format & budget checking and institutional endorsement	17 February 2020
Application materials for ethical approval for projects involving human subjects	10 April 2020

Remarks:

Apart from the initial proposal review stage, the full proposals shall be submitted to Research Office (ro@hksyu.edu) in Word format by the corresponding deadline.

Useful Links

- Research Office's website
 - HKSYU's internal timeline for submitting and reviewing proposals:
<https://ro.hksyu.edu/en/resources.php?cate=6&page=2>
 - Guidelines for budgeting staff costs in RGC's CRFS 2020/21:
<https://ro.hksyu.edu/en/resources.php?cate=7&page=4>
 - Sample budgets:
<https://ro.hksyu.edu/en/resources.php?cate=6&page=2>
 - Sample proposals of previous successful applications:
<https://ro.hksyu.edu/en/resources.php?cate=16>

THANK YOU.
