RESEARCH GRANTS COUNCIL

Competitive Research Funding Schemes

for the Local Self-financing Degree Sector

Meeting with Research Coordinators

28 October 2020

大學教育資助委員會
University Grants Committee

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☐ Review of 2020/21 Submissions

☐ New Arrangements for 2021/22 Exercise

☐ Monitoring & Assessment and Disbursement

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U~C 大學教育資助委員會
University Grants Committee

REVIEW OF
2020/21 SUBMISSIONS

OBSERVATIONS

☐ Insufficient justification

☐ Inconsistency

☐ Incorrect format

☐ Missing information

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INSUFFICIENT JUSTIFICATION

Supporting Staff Costs (Monthly Salary x Nos. x Months)	232,620	243,960		HK$ 476,580
Details:				
‣ Senior Research Assistant(s)				
‣ Research Assistant(s)	$19,385 x 1 x 12 mths (incl. MPF & medical benefits)	$20,330 x 1 x 12 mths (incl. MPF & medical benefits)		476,580
‣ Post-doctoral Fellow(s)				
‣ Research Postgraduate Student(s)				
‣ Others (please specify the post)				
Justification:	A Research Assistant with the background of Biomedical Engineering, Health Care, Biotechnology or Chemical Engineering.			

(v) **Conference Expenses** [up to HK$20,000 per year]	20,000	20,000	HK$ 40,000
Justification:			

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INCONSISTENCY

☐ Inconsistency between the amount requested and the details provided in justification

(i) **Supporting Staff Costs** (*Monthly Salary x Nos. x Months*)	315,334	305,654	N/A	HK$ 620,988
Details:				
‣ 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 Student helpers (528 hours * $55)	19,360	9,680	N/A	29,040
(1) One Research Assistant for 24 months: HK$21,820 /month x 1.05 (MPF) x 24 months = HK$549,864				

INCONSISTENCY

☐ Declaration of similar / related proposals / projects and information provided in CVs

☐ Some funded projects were found in the CVs of the researchers but not declared under the item "**Grant Record of Investigators**".

☐ Projects funded by other funding agencies or under other RGC funding schemes, such as GRF, should be declared.

CVs

Inconsistency in Declaration

Grant Record of Investigators

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INCORRECT FORMAT

☐ Format of CV not provided as required

(b) Curriculum vitae (CV) of applicant(s)
[Each PI and Co-I should submit a CV in chronological order, and each CV should be at most two A4-sized pages long.   All the dates given should be in 'DD/MM/YYYY' format.]

(i)   Name

(ii)   Academic qualifications (with dates and name of awarding universities)

(iii) Previous academic positions held (with dates)

(iv) Present academic position(s) (with date(s))

(v)   Previous relevant research work

(vi) Publication records
   ‣ Five most representative publications in recent five years
   ‣ Five representative publications beyond the recent five-year period with the latest publication entered first

(vii) Others (please specify):

Required Format

MISSING INFORMATION

☐ Scanning of proposal by Anti-plagiarism Software

INSTITUTIONAL COMMITMENTS

2. **Support to PI**

I fully understand that the primary duty of the PI, having received RGC grant, is to complete the project according to plan and I hereby confirm that:

(i)   this application

☐   has

☑   has not   (Please provide reasons for not scanning by anti-plagiarism software)

been scanned   -plagiarism software.

[Please note that the application will not be processed if it has not been scanned by anti-plagiarism software unless the institution is able to provide reasons that are considered justifiable by the RGC.]

NOT ACCEPTED!!

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CONSEQUENCES

☐ Delay in processing application

☐ Stop processing

☐ Disqualification

☐ Disciplinary action

POINTS TO NOTE

☐ **Subsidy for Provision of Studentship in FDS**

- ○ Provision of research training opportunity to undergraduate students is strongly advised;

- ○ PI is allowed to include the provision of a **monthly allowance of up to HK$2,500** to **ONE undergraduate student helper** for a **maximum of ten months** for each FDS project.

POINTS TO NOTE (CONT'D)

☐ Read Guidance Notes and relevant RGC guidelines carefully before completing and submitting research proposal.

☐ No late submission.

NEW ARRANGEMENTS FOR 2021/22 EXERCISE

ELIGIBILITY OF APPLICANTS

☐ Eligibility of Principal Investigator / Project Coordinator / Co-Principal Investigator * / Team Leader

- ○ Full-time academic staff employed by one of the eligible self-financing degree-awarding institutions

- ○ Spend at least 80% of time on locally-accredited local degree or higher degree work

- ○ Has at least a one-year renewable contract with the institution at the time of funding award being made

Except Co-PI(s) of Institutional Development Scheme Collaborative Research Grant from the UGC-funded universities.

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ELIGIBILITY OF APPLICANTS (CONT'D)

□ Spend at least 80% of time on locally-accredited local degree or higher degree work

○ A PI / PC / Co-PI / Team Leader who is / will be seconded to conduct research in a university or a research institute / body / agency in the Mainland / overseas jurisdiction while retaining his / her full-time appointment and position with his / her parent institution and is still on the payroll of the parent institution is eligible to apply for the RGC project grant.

UTILIZATION PLAN FOR EQUIPMENT

☐ To ensure facilities / equipment items can be fully utilized, **a utilization plan** for each equipment costing HK$2.5 million or above should be provided.

☐ Information to be included:

- Potential users of equipment

- Level of use (e.g. estimated no. of users, frequency of use)

- Plan to share use of equipment with other institutions

- Potential use of equipment after project completion

TENTATIVE SCHEDULE FOR THE 2021/22 EXERCISE

Date	Issues
2 November 2020	Issue of the eighth call for proposals
5 November 2020	Workshop on the operation of the three funding schemes
1 March 2021	Deadline for submission of proposals
25 June 2021	Proposal update
September 2021	Announcement of funding results
1 January 2022	Commencement of funded projects

PROPOSAL UPDATE

☐ **Proposal Update**

○ The PI or the institution should submit the following updated information **to the RGC on or before 25 June 2021**:

- brief update, if any, indicating any significant changes, e.g. changes in the eligibility of the PIs, investigator(s)'s CVs, research funding secured, grant records, etc

- ethics / safety approval

- access to Government / Official / Private Data and Records

- related research work

MONITORING & ASSESSMENT (M&A) AND DISBURSEMENT

SUBMISSION OF PROGRESS REPORT

☐ Timeline of report submission starting from projects funded in the 2017/18 exercise (applicable to FDS and IDS Collaborative Research Grant):

Project duration	Report type	Report end date	Report due date
12 months or less	No progress report is required	-	-
13-23 months	Mid-term progress report	Ten months after project start date	Two months after the report end date
24-35 months	Mid-term progress report	Three months before the mid-point of the project duration*	Three months after the report end date
36 months	Mid-term progress report	15 months after the project start date	Three months after the report end date
37 months or longer	Annual progress report	Every 12-month after the project start date	Three months after the report end date

rounded down to the nearest whole month

CONSEQUENCES OF OVERDUE REPORTS

Overdue Progress / Completion Reports

→

Projects may be **terminated** and **rated as "Unsatisfactory"**

and

RGC will **debar the applicant** from applying RGC / UGC grants in all capacities for two academic years.

For those who fail to submit the outstanding report even after the lapse of two years, he / she **will still be barred** from submitting new applications until the report is submitted.

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IMPLICATION OF PROJECT RATING

Assessment Result of
Completion / Concluding Report

Satisfactory

Barely
Satisfactory

Unsatisfactory
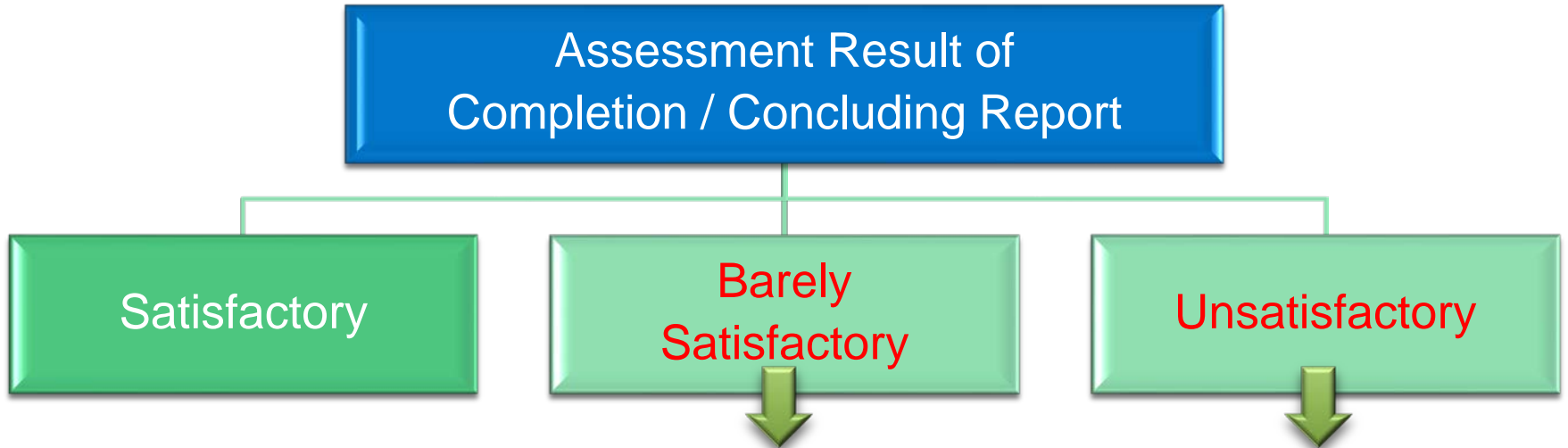
The **assessment result** of new submission
will be **downgraded**.

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SHARED USE OF FACILITIES / EQUIPMENT

☐ Institutions are strongly encouraged to share use the research facilities / equipment funded by the RGC to achieve full utilization of funded research facilities / equipment.

☐ SF institutions are suggested to upload **the lists of facilities / equipment, particularly those costing HK$500,000 or above, for sharing use by researchers** onto the website of the *"Research Collaboration Alliance of the Local Self-financing Degree Sector"*.

INTELLECTUAL PROPERTY RIGHTS / PATENTS

☐ The RGC will not claim copyright or other intellectual property rights of the research output.

☐ Institutions should ensure that PIs **follow the relevant and prevailing practice of the institution** concerned to handle copyrights, intellectual property rights or patents generated from RGC-funded projects.

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ACKNOWLEDGEMENT

The following format of acknowledgment should be used:

☐ For **publications / publicity**:

- ○ "The work described in this paper was fully / substantially / partially supported by a grant from the Research Grants Council of the Hong Kong Special Administrative Region, China (Project No., e.g. UGC/FDS10/B01/21).

☐ For **funded facilities / equipment**:

- ○ The badge / plaque "Funded by the Research Grants Council / RGC" should be placed on the facilities / equipment funded by the RGC in a prominent location.

ROLES OF INSTITUTION

☐ To update the Secretariat immediately on any changes in PI's eligibility.

☐ To sign grant undertaking.

☐ To honor the support committed to PIs.

☐ To follow the stipulated requirements (e.g. procurement, accounting and recruitment, etc).

☐ To ensure effective internal monitoring and rectify irregularities.

☐ To keep proper records.

ROLES OF RESEARCH COORDINATORS (RCS)

☐ RCs are representatives and gatekeepers of their institutions.

☐ Whenever the RGC's approval and advice is to be sought, RCs are expected to exercise their judgement to ensure that only fully justifiable cases are submitted to the RGC for consideration.

COMMUNICATION WITH THE SECRETARIAT

☐ To facilitate the processing of reports / requests submitted by institutions, please address your email to <u>all</u> of the following colleagues:

○ Miss Cissy Chow (cissychow@ugc.edu.hk)

○ Miss Kitty Leung (kleung@ugc.edu.hk)

○ Ms Koey Kwan (kkwan@ugc.edu.hk)

USE OF ABBREVIATIONS & ORDER OF INSTITUTIONS

Code	Institution	Abbreviation
11	Caritas Institute of Higher Education	Caritas
12	Centennial College	Centennial
13	Chu Hai College of Higher Education	Chu Hai
14	The Hang Seng University of Hong Kong	HSUHK
15	Hong Kong Shue Yan University	Shue Yan
16	The Open University of Hong Kong	OUHK
17	Tung Wah College	TWC
21	HKCT Institute of Higher Education	CTIHE
22	Hong Kong Nang Yan College of Higher Education	Nang Yan
23	School of Continuing Education, Hong Kong Baptist University	HKBU SCE
24	School of Professional Education and Executive Development, The Hong Kong Polytechnic University	PolyU SPEED
25	Technological and Higher Education Institute of Hong Kong	THEi
31	Gratia Christian College	GCC
41	Yew Chung College of Early Childhood Education	YCCECE
51	UOW College Hong Kong	UOWCHK

THANK YOU

Questions and Answers