

## RESEARCH GRANTS COUNCIL

### COMPETITIVE RESEARCH FUNDING SCHEMES FOR THE LOCAL SELF-FINANCING DEGREE SECTOR 2022/23

#### FACULTY DEVELOPMENT SCHEME (FDS)

#### Guidance Notes (FDS2) for Completing the Application Form (FDS1)

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**Preamble: How to use this document**

All applicants and their institutions should read this Scheme Overview and Guidance Notes carefully before completing and submitting an application to the scheme. The Research Grants Council (RGC) may stop further processing your application if your application is found not in compliance with any of the requirements as set out in this Guidance Notes.

Applicants should also read the Call for Proposals for details of the Faculty Development Scheme (FDS), and also make reference to the “Guidelines on Disbursement, Accounting and Monitoring Arrangement for the Competitive Research Funding Schemes for the Local Self-financing Degree Sector” (SF-DAMA) from the RGC website.

This Guidance Notes is in two parts: SECTION 1 summarizes the key information about the scheme while SECTION 2 is structured to mirror the application form sections and provide section-by-section guidance on completion of the application documentation.

Enquiries about the contents of this Guidance Notes and other related matters about the FDS funding exercise including appeals and complaints should be directed to the Research Coordinators (RCs) or responsible personnel of the institution.

The guidelines on handling the information and personal data contained in applications submitted to the RGC are contained in **Annex A**. Applicants requiring additional information about internal deadlines, application procedures or assistance in completing the Application Form may contact the RCs or responsible personnel of their own institutions.

**SECTION 1 – SCHEME OVERVIEW****Scheme Purpose**

1. The FDS is designed to develop the research capability of individual academic staff in local self-financing degree-awarding institutions to enable them to transfer their research experiences and new knowledge into teaching and learning. It is expected that Principal Investigators (PIs) will deliver research outputs leading to advances in knowledge that could be transferred into teaching and learning, and insights of interest and/or value to the research community, including publications, patents, etc.

## Eligibility

2. Applicants must be eligible academic staff engaged by one of the following fifteen local self-financing degree-awarding institutions:

<u>Code</u>	<u>Institution</u>
11	Caritas Institute of Higher Education
12	Centennial College
13	Chu Hai College of Higher Education
14	The Hang Seng University of Hong Kong
15	Hong Kong Shue Yan University
16	Hong Kong Metropolitan University
17	Tung Wah College
21	HKCT Institute of Higher Education
22	Hong Kong Nang Yan College of Higher Education
23	School of Continuing Education, Hong Kong Baptist University
24	School of Professional Education and Executive Development, The Hong Kong Polytechnic University
25	Technological and Higher Education Institute of Hong Kong
31	Gratia Christian College
41	Yew Chung College of Early Childhood Education
51	UOW College Hong Kong

3. The PI of the proposal must be a full-time academic staff member employed by one of the eligible self-financing degree-awarding institutions and fulfil ALL of the following requirements:
- (i) spends at least 80% of time on locally-accredited local degree or higher degree work<sup>1</sup>; and
  - (ii) has at least a one-year renewable contract with the institution at the time of funding award being made.
4. Institutions are responsible for interpreting whether an applicant has fulfilled the eligibility requirements announced in the Call for Proposals. The applicant should clarify his / her status with the institution concerned. **Once the application is submitted, change of PI during the processing period will not be allowed. The PI is responsible to report immediately via RC of the institution to the University Grants Committee (UGC) Secretariat any change in his / her eligibility status.**
5. There is no eligibility requirement for the Co-Investigators (Co-Is). The Co-Is can be any personnel working in the same or different local self-

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<sup>1</sup> A PI 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 FDS.

financing degree-awarding institutions, or the UGC-funded universities, or public / private local or overseas institutions / organizations. There is no limit in the number of applications that can be submitted in the capacity of Co-I. Each application should be submitted with only one applicant nominated as the PI and no applicant should submit more than one application in this capacity. Other joint applicants, if any, will be regarded as Co-Is. Each Co-I should have a clear, distinct and material role. Excessive number of Co-Is should be avoided. Save in very exceptional circumstances, the RGC will not entertain requests for the addition of Co-Is to a project after the funding award.

### **Scheme Funding Thresholds**

6. The lower threshold limits for applications are HK\$150,000 for projects in the fields of Biology & Medicine, Engineering and Physical Sciences, and HK\$100,000 for projects in the fields of Business Studies and Humanities & Social Sciences.
7. There is no upper limit but the level of funding should be comparable with the average approved amount of a General Research Fund Project in the UGC sector. Given the considerable competition for the limited funds available, justification for individual research projects costing over HK\$1.2 million will need to be well argued and supported.

### **Language and Format for Applications**

8. For applications which have genuine special needs to be completed in a language other than English, the applicant(s) / institution(s) are required to provide an English version on the Abstract and Research Details (Project Objectives; Pathways to Impact Statement and Research Project Statement).
9. In order to ensure consistency and fairness, applicants must complete the applications 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: 2.5cm all round

Spacing: Single-line spacing

PDF version: compatible with Adobe Acrobat Readers 5 and should be a text-searchable pdf

10. **All sections should be completed.** Where information sought is not applicable or not provided under a particular section, insert “N/A”.

## Generating a Project Reference Number for the Application

11. Before submission, a project reference number should be assigned by the institution for each of the proposals for identification purposes. The format of the reference number is: UGC / Scheme + Institution Code / Subject Panel + Serial No. / Year, e.g. UGC / FDS11 / B01 / 22. The codes for the five subject panels are:

B – Business Studies	M – Biology and Medicine
E – Engineering	P – Physical Sciences
H – Humanities and Social Sciences	

12. 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.

## Application Timetable

13. The **deadline for submission of application is 1 March 2022 (Tuesday) 5:00pm.** Two hard copies (including the original version) and one soft copy of each proposal are required to be forwarded to the UGC Secretariat through the institution. Institutions are required to submit the soft copy of all applications in one USB memory stick as far as possible in a format specified by the Secretariat. The file size of each proposal is **up to 5MB**, with the file name identical to the project reference number. The content of the soft and hard copies must be **identical**. The application will not be processed if such discrepancies are spotted.
14. In view of substantial amount of data involved, institutions are required to submit the applications together with a summary of critical information (in Excel table) on all the proposals for the funding scheme. The completed critical data file should be forwarded to the Secretariat by email on or before **4 March 2022 (Friday) 5:00pm.**
15. 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 to use double-sided printing / photocopying when making copies. It is important that applicants should comply with the page limits specified in various sections of the Application Form. **Applications will be disqualified if the proposals are found to have exceeded the allowable page limits in various sections or have abused the purpose of the “Supporting Documents” in Part V(e) of the Application Form** (only letters of collaboration and supporting documents for the purpose of research ethics / safety approval are allowed to be attached). Applicants should not make use of Part V(e) to supplement the contents of other sections.

## Assessment

16. The application will be assessed by Panel Members and External Reviewers based on merit. They use the following selection criteria in assessing the fundability of a proposal:
- objective(s) of the proposal and the adequacy of research agenda to address the objective(s);
  - research design and methodology of the proposal;
  - feasibility;
  - innovativeness; and
  - potential research impact of the proposal.

Academic quality is the primary evaluation criterion. It is important that applicants provide sufficiently detailed information for assessors to come to judgements related to these areas.

17. 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.**
18. The RGC is fully committed to the principle of honesty, integrity and fair play in the conduct of its business. To uphold public trust and protect public interest, it is important for all applicants to note and observe the “RGC Code of Conduct” and “Extracts from the Prevention of Bribery Ordinance” available at the RGC website ([https://www.ugc.edu.hk/doc/eng/rgc/guidelines/code/code\\_of\\_conduct.pdf](https://www.ugc.edu.hk/doc/eng/rgc/guidelines/code/code_of_conduct.pdf)). Applicants are prohibited to **communicate with the RGC Members and Assessment 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.**

## Information Update

19. A brief update of the proposal, if any, should be submitted to the RGC on or before **24 June 2022**, indicating any significant changes, e.g. changes in the eligibility of the PIs, investigator(s)’s CVs, research funding secured, grant records, etc. It should be emphasized that such an update should be confined to the above said changes only. Applicants should not use the opportunity to revise their proposals substantially.
20. If an update is provided for ethics / safety approval for an application, or for access to Government / official / private data and records, the PI or the

institution should submit the relevant updated data to the RGC on or before **24 June 2022**. Evidence of approval for access to Government / official / private data and records should also be submitted at this stage. Submission of letters on ethics / safety approval is only required upon the RGC's request.

21. If an update is provided on any related research work that is being / has been conducted in relation to the proposal, the PI and / or Co-I(s) should submit the relevant updated data to the RGC on or before **24 June 2022**.
22. Other than the specific situations set out, no information update / revision to an application is allowed after submission deadline.

## **SECTION 2 – COMPLETING THE APPLICATION FORM**

It is the responsibility of the PIs to ensure that their applications contain sufficient and consistent information for evaluation. **Incomplete submissions** (such as those lacking substantial data / information for evaluation) **or inconsistent / inaccurate information would lead to the disqualification of an application.**

### **PART I SUMMARY OF THE RESEARCH PROPOSAL**

#### **1. Particulars of the PI**

- (a) To ensure accuracy and to facilitate identification of the PI and Co-I, their names on their Hong Kong Identity Cards / Passports (where applicable) should be used and entered in the standard RGC format:

	<b>Surname (in capital letters)</b>	<b>Other Names*</b>
e.g.	CHAN	Peter Tai-wai
e.g.	ZHONG	Yaping
e.g.	ROBINSON	Philip

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

- (b) In defining the years of service, the total number of years of full-time employment of the PI as an academic staff in degree-awarding institutions (including UGC-funded universities or local / overseas degree-awarding institutions) will be counted. All academic staff, including junior academics (i.e. less than 4 years of service) are encouraged to apply.

#### **2. Information on PI and Co-I**

- (a) Please provide and indicate, in particular:
- the Open Researcher and Contributor ID identifier (ORCID iD) of the PI and each Co-I;
  - the average number of hours per week to be spent by the PI and each Co-I on the proposed project; and
  - whether the PI and / or Co-I(s) is / are RGC Committee / Panel Member(s) as at the deadline of the application.

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



- (b) Please summarize the qualifications of the PI and each Co-I who will be involved in the project. The CV(s) to be attached should each have a maximum of two A4 pages and include the following information:

CV

- (i) Name
- (ii) Academic qualifications (with dates and name of awarding universities)
- (iii) Previous academic positions held (with dates)
- (iv) Present academic position (with date(s))
- (v) Previous relevant research work
- (vi) Other relevant matters such as research-related prizes and awards, brief description of consultancy experience, service as a referee in evaluating other grant applications, patents, PhD theses supervised, etc.

Publications List

- (vii) Section A – Five most representative publications in the recent five years
- Section B – Five representative publications beyond the recent five years with the latest publication entered first

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 the Panel's consideration. **Failure to comply with the above requirements may lead to disqualification of the concerned application.**

- (c) Plan(s) for Collaboration

The plan should make clear the roles of individual members of the project team, including how they contribute to the overall delivery of the research programme. Commitments about roles, responsibilities and contribution of individual members stated should be reflected in the Letters of Collaboration provided for each collaborating partner (as appropriate).

PIs are required to confirm that the Co-I(s) listed in the proposal has / have explicitly agreed to serve in the project team and a copy of the proposal has been provided to each of the Co-Is. PIs are required to provide documentary proof on the collaboration upon the request of the RGC / Secretariat.

### 3. Particulars of the Project

- (a) The project title should be informative, but short and concise.

- (b) All applicants must indicate the nature of the application being submitted:

Nature	Definition
New	The application on a research topic which the PI and / or Co-I(s) applies / apply for RGC funds for the first time.
Re-submission	The application on a research topic which the PI and / or Co-I(s) has / have previously applied for RGC funds but not supported.
Continuation	The application continuing the work previously funded by the RGC.

The applicant is required to quote the previous RGC reference number if the application is a re-submission / continuation.

- (c)(i) For all proposals, the primary and secondary fields of research and codes should be stated clearly. Please refer to **Annex B**. 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 "Nursing (1222)", it should come under the subject area of Medicine, Dentistry & Health (M2) under the Biology and Medicine (M) Panel. A maximum of two fields are allowed. To facilitate the appointment of the right experts to evaluate the proposals, a PI should select a specific primary field area as closely as possible.

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

- (ii) Please give a maximum of five keywords to characterize the work of the proposal.
- (d) Please indicate the duration of the project, which should be **no more than three years**. For proposals of equal quality, preference will be given to proposals with higher impact, larger scope and longer duration over those with incremental advances and shorter duration.
- (e) Please indicate the total amount of funding requested.
- (f) A short abstract of a maximum of one A4 page comprehensible to a non-specialist should be provided. This should be informative and indicative of

the nature of the research to be conducted. If a proposal is funded, the “Abstract of Research” (Abstract) will be posted 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.

- (g) Please indicate whether there is provision of research experience for undergraduate student within this project.

## **PART II DETAILS OF THE RESEARCH PROPOSAL**

This is the major portion of the proposal. It should be presented clearly and concisely with sufficient details to indicate the significance and merits of the proposed research and to permit a meaningful evaluation of the worthiness of the project.

### **1. Project Objectives**

Please provide a maximum of two A4 pages outlining in bullet-point for the Project Objectives. These should include a summary of:

- reasons for undertaking the project
- the key issues and / or problems being addressed – these should be described and the project's engagement with solutions to the problems explained
- possible outcomes of the research project in terms of new knowledge and/or practical application.

For proposals in the Creative Arts, applicants should ensure that proposals submitted to the RGC contain research elements which contribute to academic attainments. Applicants should approach other funding authorities such as the Hong Kong Arts Development Council if their proposals have no research elements.

### **2. Pathways to Impact Statement**

Please provide a maximum of two A4 pages.

Impact refers to the demonstrable contributions, beneficial effects, valuable changes or advantages that research brings to the economy, society, culture, public policy or services, health, the environment or quality of life; and that are beyond academia. It may include social and economic impact and research that translates into products and services, as well as research that aligns with important policy, community and social objectives. The Pathways to Impact Statement should address the following questions:

- Who are the potential beneficiaries of the proposed research in the short (1-3 years), medium (4-10 years) and long term (over 10 years)?
- How will the potential beneficiaries benefit? What will be the objective demonstrable / measurable benefits beyond academia?
- What will be done during and / or after the project to increase the likelihood of achieving the identified benefits and reaching the identified beneficiaries?
- How the proposed research may enhance undergraduate education in the institution?

### 3. **Research Project Statement**

This is the core document of the proposal. Please provide a maximum of eight A4 pages covering:

- *Research context* - This should set out details of the research proposal in relation to the research field(s) involved. You should make clear the need for the research you are proposing and how it relates to existing research in the field.
- *Research questions* - This element should state clearly the key problems or questions you are seeking to address in the research project. Why are these important issues to address? How do they relate to the research context you have outlined? What new knowledge and insight will be generated by your project in relation to these issues and why is that important?
- *Research Methods* - This element should make clear the approach you propose to take to the research: Outline the uniqueness and justification of the proposed approach including how will you explore the research questions you have outlined and by what kinds of method and approach i.e. data gathering, experiment, observation, analysis and critique. The relevant research principles and techniques on which the problem solution depends should also be presented. You should make clear why these methods respond effectively to the questions you are seeking to explore.

Across these three elements, you should be clear on whether work has been / is being carried out by you and / or others on a related subject and outline previous and alternative approaches to the problem and their deficiencies, listing the 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.

- *Project timetable / Gantt chart* (one A4 page of the eight pages Research Project Statement) – A research timeline and a Gantt chart showing the research activities should be given. Where appropriate, experiments, tests and required facilities should be described. The relevant research 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 appropriate.

- 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.
- Attached diagrams, photos, charts, and table, etc, if any (a maximum of two additional non-text A4 pages)

#### 4. **References**

A maximum of three A4 pages. All references should be provided in full and include all authors. Generally accepted citation formats (e.g. American Psychological Association (APA) format) should be used.

#### 5. **Re-submission of a Proposal Previously NOT Supported**

- (a) The PI should provide details where the proposal is a re-submission (submitted to the UGC / RGC before) or is largely similar to a proposal that has been submitted to the UGC / RGC or other funding bodies. It is the responsibility of the PI to declare clearly and honestly whether his / her proposal is a re-submission. The PI should re-visit the main concerns / suggestions previously expressed by reviewers if an earlier / similar version of the proposal has been assessed before. The RGC reserves the right to discount the rating of an application for failure to acknowledge that it is a re-submission of a previous application.
- (b)&(c) This section allows the applicant to respond to previous comments and explain whether and what changes have been incorporated in the latest proposal. If a rebuttal is offered, it should be scholarly and measured. Re-submitted proposals will be treated as fresh applications for peer-review and handled in an identical manner to other new applications. Although the Assessment Panel will take into account the PI's responses to the reviewers' comments, the Panel is not obliged to invite the same group of external reviewers to assess the new application.

## **PART III PROJECT FUNDING**

Unless otherwise specified, all funding levels stated in the Guidance Notes and the Application Form are in Hong Kong dollars.

### **1. Cost and Justification**

The RGC may not process the 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 institution which fails to screen out non-compliant applications.

While the RGC may fully / 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.

#### *Permissible Items*

A detailed budget for the project throughout the project period should be given. Salaries of PIs and Co-Is must not be paid from RGC's project fund. Academic staff remunerated by the UGC-funded universities in Hong Kong or academic staff of the self-financing degree-awarding institutions eligible for submission of applications under the RGC funding schemes for the local self-financing degree sector must not be paid with honorarium or other form of payments.

The grant provided by the RGC should only be used to cover project expenditure which would not otherwise be separately incurred. Please refer to the funding policy stipulated in the SF-DAMA.

The estimated costs should not include any regular operational costs, 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 directly related to the proposed project. Examples of these are: salaries of Research Assistants (RAs) specifically employed for this project; salary of relief teacher; purchase of equipment necessary for the investigation but not available in the institution(s), dissemination of research result, etc.

In cases where a particular RA is employed for several projects, his / her salary should be apportioned.

**Detailed justification and / or quotations** should be provided where applicable. Otherwise, the RGC will not consider the request.

**(a) Estimated Cost and Resource Implications****(A) One-line Vote Items****(i) Supporting Staff Costs**

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 HK\$288,000 per annum for RA and HK\$462,000 per annum for Senior Research Assistant (SRA). These indicative rates are only meant for reference. The indicative rates will be reviewed before the RGC decides the supporting level for the applications. In the case of applications for funding for Post-doctoral Fellows, the CV of the post-doc in one A4 page should be attached if available.

**(ii) Equipment Expenses**

RGC funds must not be used to purchase personal electronic devices such as cell phones, tablet computers, MP3 players, personal digital assistants (PDAs) and digital cameras / video recorders 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, scanners and standard software / software licence / dataset 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 a funding award. This is what the RGC means by “institutional commitment”.

For justification for equipment purchase, 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 HK\$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 HK\$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 / year as appropriate);
  - the estimated number of hours (say per month / 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.
- Please provide a utilization plan of the equipment including the following information:
  - Level of use: please advise the potential users of the equipment, and provide the estimated numbers of users, including staff members and / or students expected to use the equipment under application and the estimated number of hours per annum of utilization.
  - Plan for share use: Will the equipment be available for use by institutions other than the collaborating institutions under the application? If yes, please advise your plan to promote share use of equipment, (e.g. uploading the information of the equipment on the website) and state the extent of shared use by other institutions (e.g. the number of hours available for sharing per week).
  - Provision of training: Whether training will be provided for the use and / or manning of the equipment.
  - Potential use of equipment after project completion: Please advise how the equipment can be fully utilized after project completion.

(iii) Outsourcing Expenses 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. 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 RGC's, ICAC's and / or institutional procedures and guidelines, whichever is more stringent; and
- the PIs or their team members should be involved in monitoring the sub-contracting services or the supervision of the sub-contracting services.

For sub-contracting 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 costing over HK\$200,000, price quotations must be provided, otherwise, the item concerned will NOT be considered.**

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

(iv) General Expenses

The "General Expenses" item is a catch-all category for costs which cannot be included in any of the other items. Outsourcing services other than those specified in (iii) above should be included under such item. **Items on services / purchase costing over HK\$200,000 and without supporting quotations will NOT be considered.**

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

(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 HK\$20,000 per year, irrespective of the number of investigators involved in the project, is normally allowed for each funded project. The grant can support economy class roundtrip air passage by the

most direct route, hotel accommodation, and subsistence allowance. The RGC's, ICAC's and the institutional procurement procedures and guidelines, whichever is more stringent, should be followed. The expenses / allowances should not exceed the limit set by the institution. Should there be any expenses exceeded the set limit, the institutions are required to bear the differences.

(vi) Expenses for Dissemination of the Deliverables of Research

The RGC encourages researchers to publish their work in different journals / publications. For displaying / demonstrating the outputs by other means, please justify the values and appropriateness of the output. Expenses related to knowledge transfer should not be included.

(B) Earmarked Items

(vii) Costs for Employment of Relief Teacher

Applicants under all subject panels may apply for funding support for the employment of relief teachers. Please state the rank of the relief teacher, number of courses 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. 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. Such funding will be provided only exceptionally and upon detailed and sound justification.

The grant assumes an indicative rate which is currently at HK\$45,000 per course to be relieved. This indicative rate is only meant for reference. The indicative rate will be reviewed before the RGC decides the supporting level for the applications.

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. The applicants and the institutions should decide on the salaries for the replacement with reference to the level and amount of workload expected and justify them on the Application Form. If the salary of the relief teacher exceeds the salary of the PI concerned, the exceeding part of salary should be borne by the institution.

Please also state the applicant's current average teaching load (total number of courses to be taught per academic year). The institution concerned is requested to verify the PI's declared teaching load.

A PI can only use the grants for teaching relief, including those from on-going and new projects, to cover a maximum of 50% of his / her teaching load.

(viii) Provision of Research Experience for Undergraduate Student

With a view to providing research experience for undergraduate students, the RGC has put in place the following arrangements:

- (a) to set aside a total of HK\$2 million annually within the FDS budget for the provision of monthly allowances to undergraduate students to support their participation in FDS research projects; and
- (b) to allow a PI to include the provision of a monthly allowance of up to HK\$2,500 to **ONE** undergraduate student helper for a maximum period of ten months for a FDS application.

To apply for the monthly allowance for an undergraduate student, the PI is required to include the following information under “Details and Justifications”:

- the project’s objectives and activities;
- the appropriateness of the research project for the undergraduate student’s involvement;
- the form and nature of the prospective student’s involvement in the research project;
- the process and criteria for selecting the student; and
- the intended impact.

Monitoring of the undergraduate student’s participation in the research project is the joint responsibility of the PI and the related institution. The results of the undergraduate student’s participation into the research project must also be included in the progress report and completion report of the project.

If the demand exceeds the funding allowances available, the evaluation criteria for the requests will be subject to the same criteria as FDS applications, with academic merit being the primary consideration.

(ix) High-performance Computing Services Expenses

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

(x) 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.

(E) Auditing Expenses

According to the SF-DAMA, upon completion / termination of a funded project, the institution is required to submit an Auditors' Report and return the unspent balance, if any. Auditing expense is an allowable item to be included in the budget. The indicative reference rates for auditing expense are as follows:

Size of Grants	Ceiling for Audit Fee
below \$1M	\$7,000
\$1M to less than \$10M	\$15,000
\$10M or above	\$20,000

(G) On-costs

The on-costs related to research projects funded by the RGC will be disbursed to the institutions for their disposal. Applicants are required to include the project costs as well as the on-costs at a rate of 15% of the project costs on the Application Forms.

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

Please confirm whether any grant for employment of relief teacher from any on-going project(s) under UGC / RGC funding schemes is / are currently held by the PI. If yes, please provide the project information accordingly.

## 2. Existing Facilities and Major Equipment Available for This Research Project

Please elaborate the existing facilities and equipment available for this research project in maximum of one A4 page.

## 3. Funds Secured or To Be Secured

Please provide other research funds already secured for this proposal. Other

sources of funds include private donations, awards or grants from other organizations, contract research funds from commercial enterprises, or special allocations made by the institution (including seed funding), etc. It should be noted that the amount secured from other sources should be stated in Part III Section 1(a)(C)(xii) of the Application form, and it will be deducted from the total cost of the project.

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 non-permissible items unless approval is obtained from the RGC.**

## **PART IV DECLARATION OF TIME COMMITMENTS, GRANT RECORD AND RELATED RESEARCH WORK OF INVESTIGATORS**

### **1. Declaration of Time Commitments**

Please provide (i) the number of on-going individual research projects currently held by the PI in any capacity<sup>2</sup>; and (ii) the number of on-going collaborative research projects currently held by the PI in any capacity<sup>3</sup>. Research projects funded from all sources (irrespective of whether from UGC / RGC) should be included, except those funded under the joint research schemes and the fellowship schemes administered by the RGC. A project is regarded as “on-going” if the completion report of the project has not been submitted / will not be submitted by the application deadline of the current exercise.

If the number declared in (i) exceeds three or the number declared in (ii) exceeds two, please provide (iii) overall amount of time spent on research by the PI in percentage terms; and (iv) justifications on how the PI would be able to take up the proposed additional research project if funded while maintaining the research quality.

### **2. Grant Record of Investigator(s)**

It is the responsibility of the 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. The PI should ensure that the Co-I(s) understand(s) the requirements and has / have declared all related research work. **If the PI and / or Co-I(s) fail(s) to disclose any related research work that is being / has been conducted in relation to the proposal in this section, the PI and / or Co-I(s) will be subject to disciplinary action. The application may be disqualified and the PI and / or Co-I(s) may be debarred from applying for future UGC / RGC grants.**

- (a) For the **PI**, please provide details on each of the research projects undertaken and proposals submitted by the PI (in the capacity as PI / PC / Co-PI / Co-I / Project holder<sup>^</sup> / Team leader<sup>^</sup>) including:

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<sup>2</sup> Projects funded under the Faculty Development Scheme (FDS) and Inter-Institutional Development Scheme (IIDS) are regarded as individual research projects. PI holding the capacity of PI, Co-Principal Investigator (Co-PI), Co-I or collaborator in such projects should declare.

<sup>3</sup> Projects funded under the Institutional Development Scheme Research Infrastructure Grant (IDS(R)) and Institutional Development Scheme Collaborative Research Grant (IDS(C)) are regarded as collaborative research projects. PI holding the capacity of Project Coordinator (PC), Co-PI, Team leader, Team member, Co-I or collaborator in such projects should declare.

<sup>^</sup> Project holder / Team leader is applicable to projects under the Institutional Development Scheme (IDS) from 2014/15 to 2018/19 exercises and the IDS Research Infrastructure Grant from 2019/20 exercise onwards.

- (i) completed research projects funded from all sources (irrespective of whether from the UGC / RGC) in the past five years;
  - (ii) on-going research projects funded from all sources (irrespective of whether from the UGC / RGC); and
  - (iii) proposals pending funding approval from all sources (irrespective of whether from the UGC / RGC).
- (b) For **each Co-I**, please provide details on each of the research projects undertaken and proposals submitted by the Co-I (in the capacity as PI / PC / Project holder<sup>^</sup> / Team leader<sup>^</sup>) including:
- (i) on-going research projects funded from all sources (irrespective of whether from the UGC / RGC); and
  - (ii) proposals pending funding approval from all sources (irrespective of whether from the UGC / RGC).
- (c) **Both PI and the Co-I(s)** are required to declare any related research work (irrespective of whether from the UGC / RGC and not limited to the past five years) that is being / has been conducted in relation to the proposal, including but not limited to data collection, preliminary research, working papers, publications (such as journal papers, conference papers and books, etc.), presentations, media interviews and other submitted proposals, etc. For the related research work, please provide:
- (i) the details (such as the title of the projects and / or papers / publications, or a brief description of the preliminary research work, etc.) on whether or not such work is / was part of a funded project; and
  - (ii) details to distinguish the related research work from the work requested to be funded through this proposal.

It is the RGC to make the final decision on whether the current application and the research work being / already conducted are related. The judgment of the RGC is final. Therefore, it is always advisable for the PI and the Co-I(s) to declare related proposals / projects / research work when there is uncertainty. The PI and the Co-I(s) are advised to make the declaration and elaborate the differences in the proposals / projects / research work to avoid misunderstanding. Declaration of related proposals / projects / research work does not necessarily mean that the proposal concerned will be adversely affected. The RGC may still fund the proposal concerned if the PI and



Co-I(s) are able to justify the differences of the proposals / projects / research work for separate funding.

**Please note that the information listed on the CV will not be regarded as fulfilling the declaration requirements in this Section. PI and Co-I(s) are responsible to report immediately via RCs of the institutions to the UGC Secretariat any updates on grants records, including declaration of related research work.**

## **PART V RESEARCH ETHICS AND OTHER APPROVALS**

### **(a) Research Ethics / Safety Approval**

Please complete the declaration related to ethics and safety approvals. 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 / 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 at Part VI of the Application Form to confirm whether the relevant ethics / safety approval is required and if required, the relevant approval has been given / is being sought.

### **(b) Access to Government / official / private data and records**

Please complete the declaration. 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 the Part VI of the Application Form to confirm whether the relevant approvals are required and if required, the relevant approvals have been given / are being sought.

For both (a) and (b) above, the institution and the PI should ensure that such approval will be obtained and provided to the RGC by 24 June 2022. The institution and the PI should also note that if such approval is not submitted by the deadline, the RGC will consider the FDS application as withdrawn and will cease processing it. **If the institution / PI declared that no approval was required but the RGC / Panel eventually considered otherwise, the application may be disqualified.**

### **(c) 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 and / or researchers concerned) to the public through the RGC website. PIs should assess data archive potential and opportunities for data sharing.

Due additional weight will be given to an application where the applicants are willing to make research data available to others.

PIs are required to include in the project completion reports the URL links to the institutional repositories or the publishers' websites so that the public could have quick and easy access to the manuscripts or journal articles. PIs are also encouraged to include in their research completion reports the data repositories where research data of their projects could be accessed and shared, where appropriate.

#### Public Access to 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) above 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.

#### **(d) Technology Transfer Plan (Optional)**

Applicants are invited to submit a Technology Transfer Plan separately. Any successfully funded projects with technology transfer plans submitted will be passed to the Innovation and Technology Commission, who will keep in view these projects for possible Innovation and Technology Fund (ITF) support in the future. The technology transfer plan will not be assessed by the RGC for the purpose of funding decisions. The Technology Transfer Plan should be a maximum of one page of A4 and cover:

- (i) Activities to be undertaken to:
  - disseminate the R&D deliverables;
  - realise the application of the R&D deliverables in the public sector, i.e. the R&D deliverables being used in government departments, public bodies, trade associations, charitable organizations, etc.; and / or
  - market the R&D deliverables in the commercial world, e.g. target

markets and customers.

- (ii) Potential industry partners for technology transfer / manufacturing. If possible, please provide information in relation to the future positioning of the product / technology in the market.
- (iii) Associated / complementary technology development projects which may synergise with the proposed project for technology transfer. In this case, please give some brief information of such project(s).
- (iv) Future plans to apply for ITF to support the applied research component of the proposed project.

**(e) 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.

**PART VI INSTITUTIONAL ENDORSEMENT AND DECLARATIONS OF RESEARCH ETHICS / SAFETY APPROVAL**

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

**INSTITUTIONAL ENDORSEMENT**

**1. Eligibility Requirement for FDS**

The institution should confirm that:

- (a) the application has been evaluated and endorsed by the institution for submission to the RGC;
- (b) the PI fully meets the eligibility requirement for the FDS as stated at Part I Section 1(b) of the Application Form and is not debarred from applying for any UGC / RGC grants;
- (c) the PI is / will be seconded to conduct research in a university or a research institute / body / agency in the Mainland / overseas jurisdiction with effect from the date as stated in the Application Form while retaining his / her full-time appointment and position with his / her parent institution and is still on the payroll of the parent institution;
- (d) the PI's statement in Part I Section 1(d) of the Application Form is genuine and true;
- (e) the PI's declared teaching load stated in Part III Section 1(a)(B)(vii) of the Application Form has been verified correct (only for the case where the applicant is seeking funding support for relief teacher);
- (f) the salary for the relief teacher proposed by the PI does not exceed the salary of the PI (only for the case where the applicant is seeking funding support for relief teacher);
- (g) the applicant will have the average number of hours per week as declared in Part I Section 2(a) of the Application Form to supervise the proposed project without prejudice to his / her existing commitment in other research work, teaching and administrative duties;
- (h) the applicant will abide by the in-house guidelines of the institution, as well as the relevant guidelines as set out by the RGC and the ICAC, whichever is more stringent, regarding procurement of facilities / equipment / services and for recruitment of supporting staff;
- (i) the institution will inform the RGC as soon as the PI ceases to be eligible

to apply, receive or hold an FDS grant, and will withdraw the application; or recommend to the RGC for approval of a suitable new PI, if applicable, to take over the funded project once it is funded and commenced. As a matter of policy, change of PI will normally not be approved within the first six months of an approved project and during the process of the application. However, change of PI from the 7<sup>th</sup> month may be considered by the RGC under the circumstances as stipulated in the SF-DAMA. The institution understands that failure in identifying a suitable new PI or obtaining approval from the RGC for change of PI will result in termination of the funded project;

- (j) the institution understands that the FDS 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; and
- (k) the institution understands that if the project is approved, the institution may need to provide additional funding to ensure that this project can be successfully completed. The institution will also provide necessary infrastructural and overheads supports such as normal academic equipment, consumables, postage, fax, stationery, reference books, overseas telephone charges, etc. to the approved projects where appropriate.

## **INSTITUTIONAL COMMITMENTS**

### **2. Support to PI**

The institution of the PI is required to verify and confirm whether the research project under the FDS application is in line with the role of the institution, and that adequate supervision, research facilities and training provisions will be in place to meet the need of SRA(s) / RA(s) / Post-doctoral Fellow(s) / Research Postgraduate Student(s) / Undergraduate Student Helper(s) so employed under the research grant if the application is supported by the RGC. Nevertheless, it should also be made clear that the primary duty of the PI of the RGC grant is to complete the project according to the plan.

For Part VI Section 2(c)-(h) in the Application Form, please refer to Part III paragraph 1(b)-(e) above.

### 3. **Declaration of Research Ethics / Safety Approval and Access to Government / Official / Private Data and Records**

#### (a) Research Ethics / Safety Approval

The institution should ensure that the approval of the appropriate authority(ies) will be obtained and provided to the RGC by 24 June 2022 in respect of projects involving safety hazards or the use of living animal / human subjects, including those in social sciences research (e.g. potential physical / psychological harm, discomfort / 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 ethics and / or safety approval is required. If affirmative, the institutions must give approval or exemption according to their internal ethics / safety guidelines or obtain relevant ethics / safety approval from appropriate authority(ies). **If such approval is not obtained by the deadline (24 June 2022), the RGC will regard the application as a withdrawn case and will stop further processing it.**

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

The institution should ensure that the approval of the appropriate authority(ies) will be obtained and provided to the RGC by 24 June 2022 in respect of access to data / records that are critical to the proposed research. **If such approval is not obtained by the deadline (24 June 2022), the RGC will regard the application as a withdrawn case and will stop further processing it.**

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

Part VI of the Application Form should be completed, signed and submitted by the appropriate authority of the PI's institution.

UGC Secretariat  
November 2021

**Annex A****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 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 panel in identifying external reviewers to assess your research proposal;
  - (d) compilation of periodic reports and statistical returns for analysis and research by the RGC / University Grants Committee (UGC) in relation to the use of public funds;
  - (e) sharing of data with other government departments / research funding agencies for the avoidance of duplicate funding; and
  - (f) for successful projects, such data will be used for project monitoring, promotion, publicity and may also be published on the RGC website.

**Handling of Your Information and Personal Data**

2. Your research proposal including your personal data (e.g. CVs) will be handled with care by the RGC. Staff of the UGC Secretariat, members of the RGC and RGC panels, local and non-local reviewers, and other parties who may be involved in the processes described in Paragraph 1 above will be allowed access to the data on a need-to-know basis but they will be placed under a duty of confidentiality to the RGC. Information so collected by the RGC will not be used for any other purposes. If you want to exclude any individuals from access to your research proposal, you should inform the RGC separately when you submit your research proposal. The RGC does not accept research proposals that are classified “confidential” by the Principal Investigators. It also reserves the right to stop processing or reject any applications if the applicants’ requests render it impossible for the applications to be adequately peer-reviewed.



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

4. Applicants should note the following:

- (a) all proposals will have undergone a very rigorous peer-review process which involves external assessments and the relevant RGC panels / committees which are made up of experts from the local and international academic / professional community;
- (b) grants are allocated on a competitive basis and each year is a different exercise (the success rate is based on the general quality of the proposals as assessed by the relevant RGC panels / committees, and the availability of funds, in that particular year);
- (c) the RGC is gradually raising the quality threshold, meaning that only the top and the best quality proposals will be “funded”; and
- (d) comments from all external reviewers on each proposal (except for conference grants / travel grants / fellowship applications) will be provided anonymously to the applicants concerned through their 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) 3  
University Grants Committee Secretariat  
7/F Shui On Centre  
6-8 Harbour Road  
Wanchai  
Hong Kong

Fax: 2845 1183

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**Annex B(1)****List of Research Field Areas and Codes  
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

Biological Sciences (Cont'd)  
(Subject Area : M1)

<u>Field Area</u>	<u>Code</u>
Neuroscience	1129
Plant Sciences / Plant Biology	1130
Stem Cell Biology	1131
Virology	1132
Others – relating to 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

Medicine, Dentistry & Health (Cont'd)  
(Subject Area : M2)

<u>Field Area</u>	<u>Code</u>
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
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 – relating to Medicine, Dentistry & Health (please specify : _____ )	1299

**Annex B(2)****List of Research Field Areas and Codes  
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 – relating to Civil Engineering, Surveying, Building & Construction (please specify : )	2199

**Computing Science & Information Technology**  
(Subject Area : E2)

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

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 – relating to Electrical & Electronic Engineering (please specify : )	2399

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 – relating to Mechanical, Production & Industrial Engineering (please specify : )	2499

**Annex B(3)****List of Research Field Areas and Codes  
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 – relating to Chemical Engineering (please specify : )	3199

**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 – relating to Physical Sciences (please specify : )	3299



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 – relating to Mathematics (please specify : )	3399

**Annex B(4)****List of Research Field Areas and Codes  
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
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
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

Social and Behavioural Sciences (Cont'd)  
(Subject Area : H2)

<u>Field Area</u>	<u>Code</u>
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
History	4213
History of Arts	4214
Musciology / Music History	4215
Translation Studies	4216
Philosophy	4218
Religious Studies	4219
Sexuality and Gender Studies	4220
Journalism and Media	4407
Contemporary Art	4420
Film, Visual and Media Studies	4221
Cultural Studies / Cultural Policy	4222
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

Humanities and Arts (Cont'd)

(Subject Area : H3)

<u>Field Area</u>	<u>Code</u>
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

