

THE CHINESE UNIVERSITY OF HONG KONG



Knowledge Transfer Project Fund (KPF)

PROPOSAL GUIDELINES

(July 2023)

1. What is Knowledge Transfer (“KT”)?

- 1.1. The University Grants Committee (“UGC”) has specifically defined KT as “the systems and processes, by which knowledge, including technologies, know-hows, expertise and skills are transferred between higher education institutions and society, leading to innovative, profitable, economic or social improvements.”
- 1.2. According to UGC, KT is frequently described as the “Third Mission”, apart from teaching and research, by higher education sectors of many advanced economies. Staff members are therefore encouraged to embrace KT as an integral part of their teaching and research work.
- 1.3. At CUHK, we have a long and good track record of conducting KT. Many colleagues have been extending their research outputs and expertise to benefit the industry and/or community, in different formats and using various resources, including but not limited to:
 - 1.3.1. engaging in consultancy services, contract research, or community projects, so as to help raising the standards of the industry and improve the well-being of society;
 - 1.3.2. pursuing patents, licensing and commercialization of inventions.
- 1.4. KT also encompasses both technology-based and non-technology-based initiatives of all academic disciplines.

2. Knowledge Transfer Project Fund (KPF)

- 2.1. KPF is a CUHK funding scheme, administered by the Office of Research and Knowledge Transfer Services (“ORKTS”), in promoting social innovation from all academic disciplines. KPF targets community-based, social impact-driven projects, as distinguished from patents or commercialization as in other knowledge transfer endeavours. Initiated in 2009 by the UGC Recurrent Funding for KT, KPF is co-supported by the Social Innovation and Entrepreneurship Development Fund starting from 2017.
- 2.2. Projects can be an inter-disciplinary collaboration or an individual new initiative.
- 2.3. KPF supports projects that are indicating an element of partnership and direct engagement (instead of one-way dissemination of knowledge) with external organization(s).
- 2.4. Each project should be classified into (but not limited to) one of the following categories:
 - (1) **Culture & Heritage** – promote and preserve local culture and heritage
 - (2) **Good Health & Well-being*** - ensure healthy lives and promote well-being for all at all ages
 - (3) **Gender Equality*** - achieve gender equality and empower all women and girls
 - (4) **No Poverty*** - reduce poverty in all its forms everywhere
 - (5) **Quality Education*** - innovate means for education and learning

- (6) **Reduced Inequality*** - reduce inequality in Hong Kong irrespective of age, sex, disability, race, ethnicity, origin, religion or economic or other status
- (7) **Sustainable Cities & Communities*** - make our city and human settlements inclusive, safe, resilient and sustainable

** Sustainable Development Goals set by the United Nations*

2.5. KPF supports social innovation projects exemplifying the translation of academic knowledge into social impact.

2.5.1. Project Implementation Fund

- It supports projects with proven solutions that are ready to be applied by the industry or community partners. The projects should have sound underpinning research, high social relevance and impact, engaging the local community, and highly visible to members of society.
- Project duration: 1.5 years or 2 years
- Maximum funding amount: HK\$400,000 (the final amount of an awarded project will be decided by the Committee on Knowledge Transfer)
- Evaluation Criteria
 - Impact in response to the social needs and immediate benefits to target beneficiaries - 30%
 - Potential to engage wider audience or strengthen the community's capacity to address social issues - 20%
 - Relevancy to the research outputs -20%
 - Innovativeness (i.e. new approach, procedure or method to address existing problem) – 15%
 - Potential sustainability after the KPF fund – 15%

2.6. Eligibility

- 2.6.1. Project Leaders and Co-Leaders should be full-time CUHK staff members on professoriate or research academic ranks, though other teaching staff would also be considered on a case-by-case basis. The Project Leader is the central point of contact and budget holder of the project, taking overall responsibility of the project including the reporting.
- 2.6.2. All CUHK staff, students and non-CUHK members may participate as team members.
- 2.6.3. Project Leaders may choose to collaborate with Co-Leaders on a project. Each of their contribution should be articulated in detail in the **Application**.

3. Rules and Conditions

3.1. Project Start Date and Extension

- 3.1.1. Normally the commencement date is 1st April every year.
- 3.1.2. The procedure for project end date extension is covered in **Appendix "Conditions for the Allocation and Use of Funds"**.





3.2. Budget & Conditions

- 3.2.1. The Project Leader will be the sole budget holder of the project account.

- 3.2.2. Participation of CUHK staff in KPF projects should NOT be regarded as Outside Practice and no remuneration for such should be budgeted for the project.
- 3.2.3. Detailed justification should be provided for each supporting staff in the budget which covers basic information including rank, length of employment, estimated level of participation in project and duties. For appointment of staff above the Research Assistant level, strong justification is required.
- 3.2.4. Payment will not be allowed for items not covered in the approved budget.
- 3.2.5. The KPF funding is granted for only up to two years and is not a recurrent fund for the long term.
- 3.2.6. If the full amount of the funding request cannot be provided, applicants are encouraged to match the funding needs with own resources.
- 3.2.7. KPF does NOT fund:
- (a) projects of basic research nature;
 - (b) patent applications[#], technology product development[#], spin-off companies[#];
 - (c) academic conferences, and the costs of inviting overseas speakers at events;
 - (d) operating costs of self-funded programs, within and outside CUHK;
 - (e) projects initiated and operated solely by students or external parties;
 - (f) capital items, such as furniture, IT equipment, software and electronic devices;
 - (g) entertainment expenses;
 - (h) purchase of or subscription to journals, books and conference proceedings;
- # these items are under different funding schemes of ORKTS*
- 3.2.8. The procedure for budget revision is covered in **Appendix “Conditions for the Allocation and Use of Funds”**.
- 3.3. The Project Leader should provide interim and final reports of the projects as stipulated. The report will include quantitative and qualitative measures of success of the project, and feedback statistics of project activities. The procedure for report submission is covered in **Appendix “Conditions for the Allocation and Use of Funds”**.
- 3.4. The Project Team is advised to keep ORKTS informed of their publicity arrangement (in particular for any events and press interview). The Project Team is required to follow the acknowledgement guideline specified in **Appendix “Conditions for the Allocation and Use of Funds”**.
- 3.5. Dual Applications and Reapplications
- 3.5.1. Each Project Leader may only submit one application. Submitting multiple applications will not be considered. Project Leaders may serve as Co-Leaders or team members in other projects.
- 3.5.2. Reapplications (i.e. resubmission of previously rejected proposals) should highlight new or innovative elements compared with previous proposals.

4. Monitoring and Review

- 4.1. If a Project Leader fails to submit the report on time and in good quality, his or her subsequent application(s) for KPF funding support might be affected.
- 4.2. The Project Leader should handle the keeping of books and records, etc. ORKTS reserves the right to conduct checks of documents, records, etc. of the KPF project to ensure compliance with the guidelines and requirements relevant to the funding support.
- 4.3. Rating system
- 4.3.1. The rating system is based on achievement of the deliverables and relevance to foundational research, evaluated by the Vetting Committee.
- 4.3.2. Recognitions from external stakeholders (e.g. Non-Governmental Organizations (“NGOs”), beneficiaries, etc.) would be considered as well.

| <u>No. of Palm Leaf</u> | <u>Criteria</u> |
|---|---|
|  | Partially met the target deliverables without substantiation of the impact results |
|  | Partially met the target deliverables, with some substantiation of the impact results |
|  | Met the majority of core target deliverables (at least 75%), with solid proof of impact results |
|  | Exceeded all target deliverables, with solid proof of meeting these targets and substantial recognition/endorsement from external stakeholders (e.g. from beneficiaries, community partners, NGOs, authorities, etc.) |

5. Application Procedures

- 5.1. Applications should be made via the online application portal (<https://orkts-cuhk.grantplatform.com/>), on or before the application deadline. Incomplete or late applications will NOT be accepted.
- 5.2. Project Leaders and Co-Leaders (if applicable) must obtain endorsement from the respective Department Chairperson (or School/Institute Director) and Faculty Dean* and submit an electronic copy to orkts.si@cuhk.edu.hk. A hard copy signed by the relevant parties should then be delivered to:

Social Innovation Team,
 InnoPort, Inter-University Hall,
 The Chinese University of Hong Kong,
 Sha Tin, New Territories

*or the Pro-Vice-Chancellor (Research) for non-Faculty based Research Institutes and Centres.

A list of recently funded KPF projects can be found on the webpage:
<https://www2.orkts.cuhk.edu.hk/en/knowledge-transfer/social-impact-driven-projects>

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