

Guidelines for Conducting Research at SZRI

(May 2016)

A. Principles

1. The fundamental principle is that the Shenzhen Research Institute (SZRI), which is wholly owned by the University, is regarded as part of CUHK. CUHK staff members who have PhD degree qualification and intend to establish a research presence or conduct training and other functions at SZRI should make a formal application to become members of the Institute. CUHK staff members should refer to “Staff Deployment Policy for CUHK’s Mainland Initiatives” for details.
2. On the basis of the above principle of A.1., and also to ensure that proper records are kept and reasonable control is exercised, the following arrangements will apply to CUHK/SZRI staff members who conduct/participate in research activities at SZRI.
3. As a matter of principle, SZRI should be the primary premises for the execution and implementation of research projects funded via SZRI as the hosting institution. Approval should be sought from Director of SZRI should there be any deviations.

B. Funding Application

1. CUHK/SZRI staff members should abide by CUHK and SZRI’s policies on research, intellectual property and knowledge transfer when applying for research funding, participating in research project or entering into research contract in the Mainland.
2. Non-CUHK/non-SZRI staff members, as well as non-full-time members of CUHK/SZRI are not allowed to lead any research projects as Principal Investigator/Budget Holder at SZRI.
3. No funding (government/industrial/enterprise) would be accepted for any projects led by non-CUHK/non-SZRI staff members, or by CUHK/SZRI non-full-time members.

Government Research Grants (縱向項目) [Annex 1]

4. To apply for government research funding *as Principal Investigator (PI)/Budget Holder* through SZRI as the hosting institution (依託單位), CUHK/SZRI staff members should
 - a. be a full-time academic staff member of CUHK at Assistant Professor / Research Assistant Professor rank or above; or a full-time staff member of SZRI at Associate Researcher rank or above, or other full-time CUHK/SZRI staff members with the approval of the immediate supervisor, Department Chairman/Unit Head, Faculty Dean and the Chairperson of the CUHK Research Committee (via SZRI) provided that a named academic staff member at Professor or Research Professor rank with ongoing research activities at SZRI assumes responsibility for ensuring that the administration of the award conforms with the sponsor’s requirement;
 - b. register as a member of SZRI by completing the “SZRI Member Registration Form” (for CUHK staff members only);
 - c. identify a research laboratory at SZRI and obtain approval from the PI of the laboratory to host the research project;
 - d. complete the “Undertaking by Grant Applicant”;

- e. complete the “Undertaking by Department”, countersigned by the Faculty Dean, IF PI’s employment contract term does NOT cover the entire period of project concerned;
 - f. complete the “Declaration Form for Research Grant/Contract”;
 - g. under the following conditions, invite a full-time CUHK staff member at Associate Professor rank or above who have a presence at SZRI (either with research space or project) to co-supervise the project¹:
 - i. PI’s employment is on contract term which does not cover the entire project period; and
 - ii. The funding agency does not have an applicable mechanism for transferring or terminating funded research projects, e.g., some Shenzhen grants; and
 - h. in case a collaborating unit is involved, submit a collaboration agreement for joint application together with the funding application. The maximum amount of funding to be allocated to the collaborating unit, if any, should not exceed 30% of the total amount of the grant. (Template of collaborating agreement available upon request)
5. To serve as a project team member in application for government research funding through SZRI, CUHK/SZRI staff members should
 - a. register as a member of SZRI by completing the “SZRI Member Registration Form”. (for CUHK staff members only)
 - b. declare time commitment in PI’s “Declaration Form for Research Grant/Contract” and seek endorsement from Department. (for CUHK staff members only)
 6. Where a PI who is not a full-time academic staff member of CUHK at Assistant Professor / Research Assistant Professor rank or above but approved by the Faculty Dean and Chairperson of the CUHK Research Committee to lead a project under the supervision of a named academic staff member at Professor or Research Professor rank, use of the staffing/labour budget of the project should be pooled with funding of his/her supervisor for staff hiring.
 7. CUHK staff members should apply for funding (either as PI or member) in the capacity of the courtesy appointment offered to them by SZRI.
 8. Applications from SZRI staff members who seek to apply for funding under talent schemes (non-project-based funding) shall be subject to assessment by the corresponding CUHK Faculty for support and final approval by the SZRI Directorate.
 9. Unless the CUHK/SZRI staff members concerned have identified and secured available fund sources confirmed/approved by Faculty/SZRI, no matching fund(自籌經費) should be pledged for any research project, whether at the stage of funding application or contract signing.
 10. Should there be any time commitment pledged to any projects, for CUHK/SZRI PI/member, the total amount of time added up from all his/her projects at SZRI and CUHK should not exceed 12 months per year.
 11. If CUHK PI/members are required to pledge a certain amount of time to work physically at SZRI, the total amount of time pledged should not exceed 120 days per year. If absence from CUHK campus has to exceed this ceiling, an arrangement should be made for fractional support from another source.
 12. Approval from the Department Chairman/Unit Head and Faculty Dean is required for any time commitment or pledged physical presence at SZRI as stated in points 10 and 11.

¹ The CUHK co-investigator would act as PI of the project should the original PI fail to act as PI for whatever reason. As some mainland funding agencies do not allow filing for the change of PI, the CUHK co-investigator only serves as a proxy to continue execution and ensure due completion of the project at SZRI in the absence of the original PI’s full-time employment capacity at CUHK/SZRI. In this regard, the co-investigator might or might not be listed as a member in the project proposal, as see fit by the PI.

Contract Research (橫向項目) [Annex 2]

13. To enter into a research contract through SZRI, CUHK/SZRI staff members should
 - a. be a full-time academic staff member of CUHK at Assistant Professor/Research Assistant Professor rank or above; or a full-time staff member of SZRI at Associate Researcher rank or above, or other full-time CUHK/SZRI staff members with the approval of the immediate supervisor and the Chairperson of the CUHK Research Committee provided that a named academic staff member at Professor or Research Professor rank with ongoing research activities at SZRI assumes responsibility for ensuring that the administration of the award conforms with the sponsor's requirement;
 - b. register as a member of SZRI by completing the "SZRI Member Registration Form" (for CUHK staff members only);
 - c. identify a research laboratory at SZRI to host the research project;
 - d. complete the "Undertaking by Department", IF PI's employment contract term does NOT cover the entire period of project concerned;
 - e. complete the "Declaration Form for Research Grant/Contract"; and
 - f. where payment-in is involved, complete the "Undertaking by Grant Applicant" and "Research Projects Database Form".
14. In the interest and for the protection of the Institute and the University contracts to be signed/stamped by SZRI would be reviewed by ORKTS. CUHK/SZRI members concerned should follow the advice of ORKTS. SZRI will only sign/put official stamp on contracts that are approved by ORKTS.
15. For use of CUHK/SZRI name and emblem, all contracts in relation to research and development, consultancy, service, and knowledge transfer should contain the provisions governing the use of CUHK's and SZRI's names and emblem.
16. All contracts should be negotiated and drafted in a way that would protect the interest of the University and the Institute as far as possible. And as a good practice content of any contract should be clear, accurate and neatly formatted to avoid ambiguity. (Templates of some common contracts available upon request)
17. Contract research income would normally be subject to Mainland business tax.

C. Research Ethics and Safety

1. CUHK/SZRI staff members should abide by the University's research ethics and safety standards as stated in CUHK Policy on Research, when applying for research funding or conducting research activities in the Mainland.
2. Approval should be sought from the respective ethics/safety committees of CUHK/SZRI, following the University's guidelines and procedures on research ethics/safety approval, prior to submission of funding application if deemed necessary.
3. All users of research laboratories of SZRI should abide by the Institute's laboratory safety regulations.
4. Each research laboratory should assign a safety coordinator and provide SZRI with his/her contact details in case of emergency. The research laboratory should notify SZRI immediately in case of change of safety coordinator.
5. The safety coordinator should carry out routine inspection of the research laboratory by completing the "Laboratory Safety Inspection Checklist" at least once per calendar quarter.

The quarterly Checklist, to be endorsed by the PI of the laboratory, should be sent to SZRI by end of each quarter, for onward submission to the University Safety Office for record.

6. Regular inspection would also be carried out by the University Safety Office regularly to ensure compliance with the University's standards and requirements.
7. Any users who plan to stay overnight at the Institute for research work should seek prior approval from the PI of the laboratory and inform SZRI 3 days in advance.

D. Project Administration

1. CUHK/SZRI staff members who have obtained funding in the Mainland as PI should complete the "Research Projects Database Form" and submit it to SZRI. Only one RPD form should be submitted for each project.

Publications

2. CUHK staff members should enter their publication information into the Online Publication Input System (OPIS) of the University.
3. Since the research work conducted at SZRI by CUHK staff members is part of their CUHK duties, CUHK should be credited in all their work. Publication address or affiliation should thus always bear the name of both SZRI and the PI's home department, in addition to the requirement of the funding scheme, if any. The publication address should be standardized as specified in the "Notes on Publication Address".

Intellectual Property and Knowledge Transfer

4. As SZRI is considered an extension of the University, intellectual property rights (IPR) generated from research activities at SZRI should be governed by the "Policy on Intellectual Property" of CUHK and the "Protocol for Intellectual Property Management and Knowledge Transfer" of SZRI, as well as any further conditions that may be attached to specific funding.

Overhead Charges

5. Differential overhead rates would be charged by SZRI for different types of projects conducted at SZRI for indirect cost recovery. CUHK/SZRI members should refer to the latest overhead rates for research projects at SZRI.
6. Overhead will be charged by SZRI based on total amount of funding awarded. No overhead should be charged by collaborating unit, if any, unless clearly specified in the project proposal or agreement signed and duly approved at the application stage.

Project Transfer for Departed/Departing Staff

7. PIs who have departed/are departing from CUHK/SZRI should transfer their SZRI projects to their new institution after departure as far as possible.
8. All project account(s) of departed staff at SZRI will be suspended upon his/her departure from CUHK/SZRI. Departing PIs are thus strongly advised to arrange for the necessary project transfer early in advance in order not to affect the progress/completion of the project(s).
9. Circumstances where a departed CUHK/SZRI member might be allowed to serve as PI/Budget Holder of SZRI project(s):
 - a. Project(s) of departed CUHK/SZRI staff is/are due for completion within six-months' time upon his/her departure, rendering it unfeasible/impractical to terminate the project/transfer the project to his/her new institution.
 - b. The funding agency does not have an applicable mechanism for transferring or terminating funded research projects, e.g., some Shenzhen grants.

- c. Situation with sufficient justification and the lack of viable alternative, as accepted by the Executive Committee of the SZRI Management Board.
10. Should project transfer/termination be unfeasible/impractical under the above circumstances, the departed/departing PI should apply to continue and complete his/her project(s) at SZRI by
 - a. registering as an affiliated member of SZRI by completing the “SZRI Member Affiliation Form for Departed Staff”.
 - b. completing the “Declaration Form for Research Grant by Departed Staff”. The departed/departing PI should invite a full-time CUHK staff member at Associate Professor rank or above to co-supervise the project, and undertake to ensure timely project completion². Such co-investigator should also have a presence at SZRI, either with research space or project. The CUHK co-investigator would act as principal investigator of the project should the original PI fail to act as PI for whatever reason.
 11. The use of funding by departed CUHK/SZRI member at SZRI would be more restrictive for accountability’s sake:
 - a. Staff recruitment or student support using the funding are limited to those who physically work at SZRI under proper supervision;
 - b. For meeting/conference expenses, the events have to be hosted by SZRI, instead of the institution where the departed member works;
 - c. For publications (including conference papers) supported by the funding, SZRI and CUHK should be filed as the primary corresponding institution;
 - d. IP generated by the departed member arising from the project should belong to SZRI;
 - e. In general, fixed assets and consumables acquired using the funding should be delivered and consumed at SZRI.

Disposition of Unused Project Funding

12. Unused project account balance results from the following situations:
 - a. after project completion and then the PI has departed;
 - b. after project completion but the PI is still in service;
 - c. projects without requirement for project completion and the PI has departed; and
 - d. projects without requirement for project completion and the PI does not wish to further conduct research at SZRI.
13. Unless otherwise specified/required by the funding agency concerned, principles for the disposition of the unused funds would be as below:
 - a. PI who is still in full-time service at CUHK/SZRI could continue to use the unused funding after project completion;
 - b. PI who is still in full-time service at CUHK/SZRI could transfer the unused funding to another PI, provided that
 - the PI who is assigned to use the funding has a presence at SZRI;
 - approval has been obtained from the Director of SZRI;
 - c. unused funding of PI who has departed CUHK/SZRI should go to the central fund of SZRI; and
 - d. unused project funding should be used to settle any outstanding debts of the PI at SZRI first; and should not be used on entertainment expenses.

E. Establishment of Research Centres/Units

² The CUHK co-investigator only serves as a proxy in the absence of the PI’s full-time employment capacity at CUHK/SZRI. The departed CUHK/SZRI member will remain as the PI of the project in the official record of the funding agency concerned.

To establish a research centre/unit at SZRI, CUHK/SZRI staff members should go through the University's existing approval procedure and seek support/approval from the relevant Committees (Research Committee, Committee on Academic Links where applicable and then AAPC). CUHK staff members should seek approval via their reporting Department/Unit and Faculty at CUHK.

F. Others

As SZRI is an integral part of CUHK, where there is no express policy provision at SZRI, the relevant CUHK policies, regulations and prevailing practices shall apply. The SZRI Management Board has the final right to interpret the policy provisions and rule on individual cases. The Guidelines would be subject to review from time to time as deemed necessary by the SZRI Management Board.

G. Useful Links

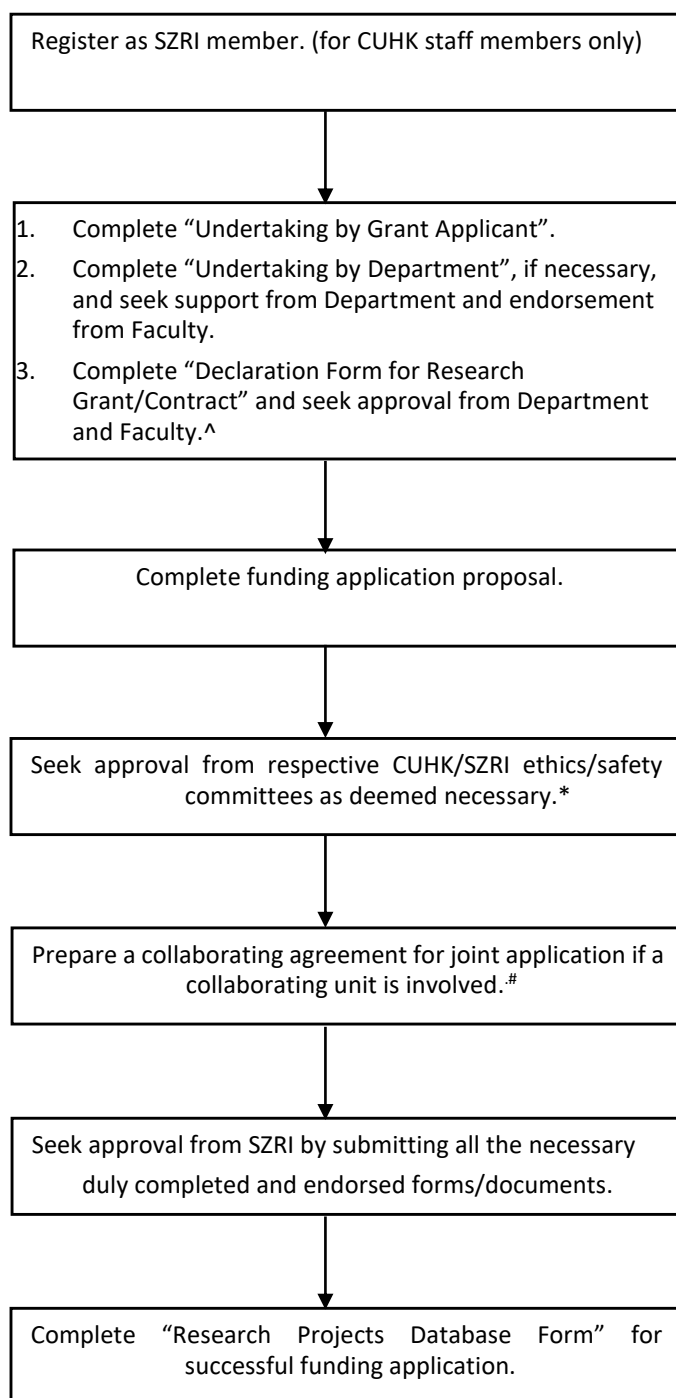
- Staff Deployment Policy for CUHK's Mainland Initiatives
https://www.orkts.cuhk.edu.hk/images/content/research/external-funding-sources/mainland/Staff_Deployment_Policy_for_CUHK_Mainland_Initiatives.pdf
- SZRI Research Ethics Approval
<https://www.orkts.cuhk.edu.hk/en/research/research-support/research-integrity>
- CUHK Policy on Research
<https://www.orkts.cuhk.edu.hk/en/about/policy-documents>
- CUHK Policy on Intellectual Property
<https://www.orkts.cuhk.edu.hk/en/about/policy-documents>
- CUHK Ethics or Safety Approvals
<https://www.orkts.cuhk.edu.hk/en/research/research-support/research-integrity>
- CUHK Academic Information Management System (AIMS)
<https://libguides.lib.cuhk.edu.hk/aims/home>
- CUHK Guidelines and Procedures for the Establishment, Governance, Review, and Closure of Research Units
https://www.orkts.cuhk.edu.hk/images/content/restricted/research/internal/research-units/Guidelines_and_Procedures_for_the_Establishment_Governance_Review_and_Closure_of_RU_20220215.pdf

May 2016

Updated: February 2023

- Annex 1

Workflow for
Application for Government Research Grant via SZRI (縱向項目)

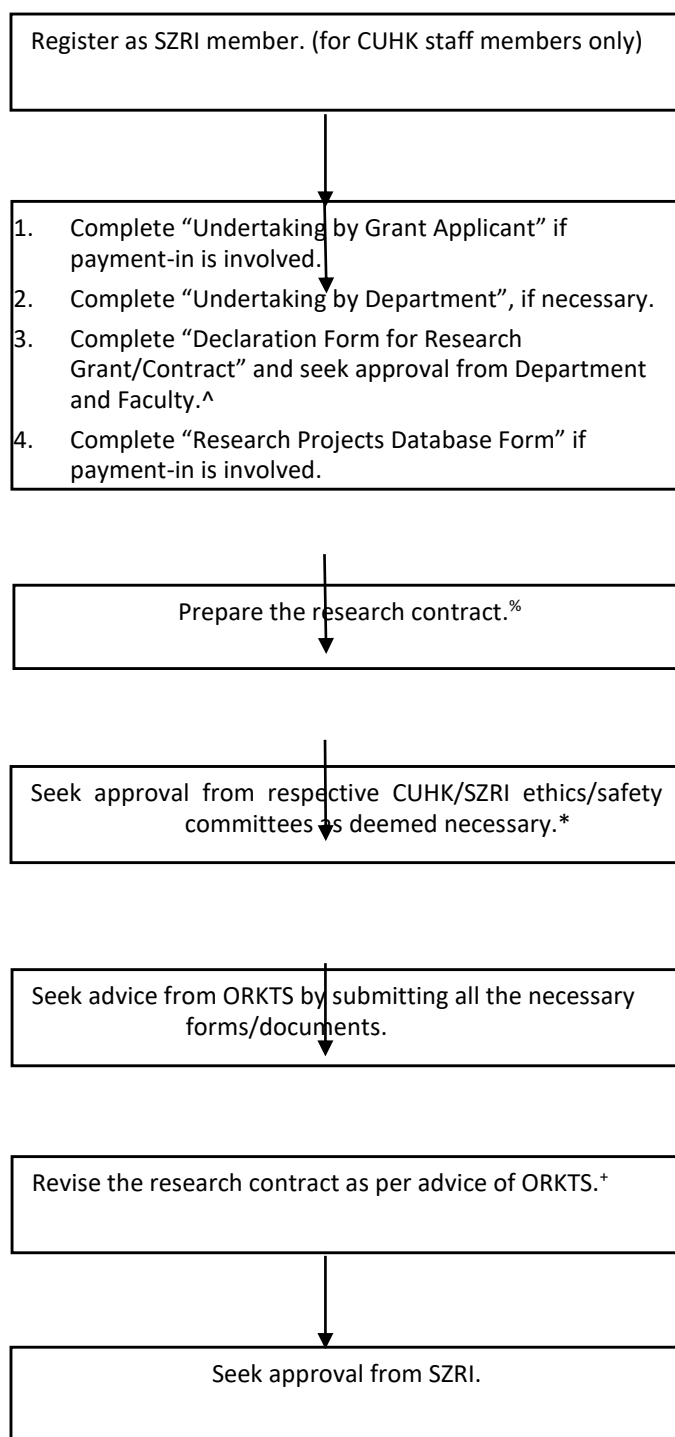


^ Under the conditions of B.4.g., a full-time CUHK staff member at Associate Professor rank or above who have a presence at SZRI should be invited to co-supervise the project.

*Approval documents from respective CUHK/SZRI ethics/safety committees should be provided.

Template of collaborating agreement available upon request. The maximum amount of funding to be allocated to the collaborating unit should not exceed 30% of the total amount of the grant. Overhead will be charged by SZRI based on total amount of funding awarded. No overhead should be charged by collaborating unit, if any, unless its funding allocation is clearly specified and duly approved at the application stage.

Workflow for
Engaging in Contract Research via SZRI (橫向項目)



^ Under the conditions of B.4.g., a full-time CUHK staff member at Associate Professor rank or above who have a presence at SZRI should be invited to co-supervise the project.

% All contracts should be negotiated/drafted in a way that would protect the interest of CUHK and SZRI as far as possible.

*Approval documents from respective CUHK/SZRI ethics/safety committees should be provided.

+ CUHK/SZRI members concerned should follow the advice of ORKTS. SZRI will only sign/put official stamp on contracts that are approved by ORKTS.