

# Health and Medical Research Fund

## Guidance Notes - Grant Application for Health Care and Promotion Scheme

This booklet provides the procedures that should be followed to apply for grants, manage projects and submit reports to the Health Care and Promotion Committee.

Please submit applications to:

Research Fund Secretariat  
Research Office  
Food and Health Bureau  
9/F, Rumsey Street Multi-storey Carpark Building  
2 Rumsey Street, Sheung Wan  
Hong Kong

**ATTENTION:** Applications will not be considered if the information supplied by the applicants is incomplete or inaccurate. The Government reserves the right to request additional documents and information when processing the applications.

*April 2017*

## Preamble

This document is designed to provide background information and advice on funding opportunities offered by the *Health Care and Promotion Scheme* (HCPS) under the *Health and Medical Research Fund* (HMRF) administered by the Food and Health Bureau.

All applicants are required to read this document carefully in conjunction with the Explanatory Notes – Grant Applications for Health Care and Promotion Scheme before preparing applications for the HCPS. Special attention should be paid to “***Standard Conditions of the HCPS***” in Part 3, “***Items Allowable and Unallowable for Reimbursement***” in Appendix A and “***Financial Arrangements***” in Appendix B.

Enquiries about this booklet and its contents should be addressed to the Research Fund Secretariat (the Secretariat) by fax: 2102 2444 or email: rfs@fhb.gov.hk.

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## PART 1 BACKGROUND

### 1.1 Fund Administration

- 1.1.1 **Organisational Structure:** The Health Care and Promotion Committee (HCPC) provides strategic steer for funding health promotion projects and assumes fiduciary responsibility for all aspects of the administration of the HCPS including the allocation of funds for approved grants. The HCPC is supported by the Promotion Sub-committee (PSC) as the technical arm.
- 1.1.2 **Function:** The HCPC functions as a broadly based policy group. It sets guidelines and procedures for grant applications. The assessment panel provides critical appraisal on applications for health promotion projects. The funding decision of the HCPC is final.
- 1.1.3 **Setting Policy:** The HCPC will review health care trends and health needs in Hong Kong on a continuing basis to support its decision making and the formulation and revision of funding policy and priorities.
- 1.1.4 **Composition:** The HCPC comprises prominent members of the health care system. The PSC has brought together experts with technical skills and experience in a wide spectrum of health sciences and experts in health promotion to support the work of assessing grant applications and reports.

### 1.2 Mission and Scope of HCPS

- 1.2.1 **Mission:** The HCPS provides funding support to evidence-based health promotion projects that help people adopt healthier lifestyles by enhancing awareness, changing adverse health behaviours or creating a conducive environment that supports good health practices.
- 1.2.2 **Scope:** A **Health Promotion Project** is a coordinated set of activities enabling people to increase control over, and to improve, their health. It moves beyond a focus on individual behaviour towards a wide range of social and environmental interventions<sup>1</sup>. An **evidence-based health promotion project** is a set of these activities, with published scientific evidence supporting their effectiveness in addressing the specific health needs of the specific population. The HCPS invites innovative proposals addressing specific areas of health promotion listed in the thematic priorities. The suggested health promotion work should be based on scientific evidence and evaluated in a systematic way. Collaborations between tertiary institutions and community organisations, in particular non-governmental organisations (NGOs) are highly encouraged to generate new evidence-based practice which can be applied in our local community.
- 1.2.3 Funding will not be granted to applications primarily seeking support for one-off publicity events, equipment or capital works.

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<sup>1</sup> World Health Organization. Health topics – health promotion [Internet]. 2017 [cited 1 April 2017]. Available from: [http://www.who.int/topics/health\\_promotion/en/](http://www.who.int/topics/health_promotion/en/)

## **PART 2 APPLYING FOR A GRANT**

### **2.1 Funding Duration and Amount**

- 2.1.1 Grants are normally awarded for periods of up to 2 years. They are primarily intended to cover the direct costs attributable to the initiative or programme. In general, contributions will not be made towards the indirect costs of projects. A list of allowable and unallowable items is shown in Appendix A.
- 2.1.2 Funding for each successful application will normally not exceed \$1,200,000.
- 2.1.3 Funding is on a one-off basis. No supplementary or recurrent funding will be considered.
- 2.1.4 Project should start **within 6 months** for grants exceeding \$100,000 or **within 4 months** for grants of \$100,000 or less from the grant approval date and be completed within 2 years.

### **2.2 Eligibility**

- 2.2.1 Principal applicants must represent a non-profit-making organisation, a registered community group, a group formed under a registered non-profit-making body, a local tertiary institution or public hospital (referred as “administering institution” in the rest of this document).
- 2.2.2 Principal applicants shall be based in a Hong Kong institution throughout the project period and be employed by the administering institution at the time of submission of application.
- 2.2.3 Individuals not employed by any administering institution and staff of Government Bureaux/Departments are not eligible to apply as Principal Applicants but their participation as Co-applicants is acceptable.
- 2.2.4 Each principal applicant is allowed to submit **one** application only (either a new or a resubmission of application).
- 2.2.5 Funding will not be granted to projects in areas already funded by other funding agencies.
- 2.2.6 Application for new funding will not be considered if the principal applicant has overdue final or dissemination report of project(s) supported by the funds administered by the Food and Health Bureau including the HMRF and the former Health Care and Promotion Fund (HCPF). Applicants’ track records of overdue or unacceptable reports are taken into consideration when assessing grant applications.

### **2.3 Assessment Criteria**

- 2.3.1 Applications will be assessed according to the following criteria:
- Potential impact in response to the health needs of the target local community
  - Scientific evidence of effectiveness of the proposed health promotion activities
  - Innovation
  - Relevance to thematic priorities
  - Feasibility of the proposal
  - Evaluation plan of programme effectiveness
  - Cross-sector collaboration, in particular collaboration between NGOs and tertiary institutions
  - Track record of the applicants and the administering institution
  - Justification of requested budget

- Impact and sustainability of the programme
- Potential to build community capacity in health promotion

2.3.2 The HCPC may at its absolute discretion invites international peer reviews of the applications.

## 2.4 *Grant Applications*

2.4.1 The Application Form can be submitted in English with or without Chinese version. If both English and Chinese versions are submitted, applicants must indicate the prevailing version to be referred to, in case there is inconsistency or ambiguity between the two.

2.4.2 The Application Form can be obtained from the Secretariat or downloaded from <http://rfs.fhb.gov.hk>. Applications that are out-of-scope or incomplete or do not fulfil the submission requirements, or insufficiently detailed to allow peer review will not be processed and may result in administrative withdrawal. These applications will be submitted to the Chairpersons of the HCPC Promotion Sub-committee (PSC) for approval as ineligible applications.

2.4.3 A principal applicant and **up to 9 co-applicants** may work together in a project team.

2.4.4 Principal applicants have the principal responsibility for the oversight and management of the project. Before making a grant submission, applicants are required to read the Explanatory Notes - Grant Application for Health Care and Promotion Scheme which can be downloaded from <http://rfs.fhb.gov.hk>.

### Resubmission

2.4.5 Resubmission is only applicable to applications with rating “Re-submission” in PSC Assessment Report, when it has been substantially revised to address all assessors’ comments in a structured and consistent manner. The continued relevance of the application with respect to health needs of the community, knowledge gaps, policy needs and prevailing thematic priorities at the time of resubmission will be considered. Having satisfactorily addressed assessors’ comments is not a guarantee of funding.

### Applications declined by the HCPF/HMRF or other funding agencies

2.4.6 Applications declined on the ground of misconduct by the HCPF/HMRF or any other funding agencies will not be considered.

2.4.7 Applications rejected in previous application rounds of the HCPF or not funded in previous application rounds of the HMRF must be submitted as a new application with extensive changes or improvements made to the application concerned and with full justifications.

2.4.8 Submission of proposal previously declined by other funding agencies (local or overseas) other than the HCPF/HMRF may be considered. Principal applicant should provide (a) all comments raised by the funding agency; (b) the principal applicant’s responses to address these comments; (c) the revised proposal with highlights of changes made; and (d) detailed explanation and justifications if no change is made in the proposal. It is always advisable for applicants to declare similar or related proposals when there is uncertainty.

### Similar projects and other funding

2.4.9 **Applicants should declare any duplicate funding in the Application Form.** At any time before the announcement of the funding decision of the HCPS application, applicants are required to notify the Secretariat immediately about:

- (a) any other similar or related application submitted to other funding agencies in addition to those listed in the Application Form; and
- (b) the funding decision of any similar or related application once available.
- (c) the administering institution or any of the applicants listed in Section 9, or any of the proposed personnel and sub-contractors / agencies to be engaged in the project, shall declare any actual or perceived conflict of interest, such as receiving any funding or assistance directly or indirectly from industries (including but not limited to tobacco related businesses, infant formula companies, or organisations funded by such businesses).

#### Supplementary sponsorship

2.4.10 Supplementary sponsorship must be fully justified. Applicants shall state clearly whether any supplementary support, monetary or non-monetary, has been / will be received from other sources, including but not limited to devices, consumables and rental of equipment.

#### Plagiarism

2.4.11 The grant application should comprise the principal applicant's original work. Plagiarism is not tolerated. The previously published work of others must be identified clearly as such by citing appropriate references. The principal applicant may be asked to provide clarifications where any overlap between the contents of the submitted grant application and other materials is suspected.

#### Management of track records

2.4.12 Failure to comply with the requirements in paragraphs 2.4.9 and 2.4.10 will lead to severe consequences including but not limited to disqualification from the current application round, debar from grant applications and marking of the track record of the applicants. The track records of the applicants will be taken into account when considering applications to any of the health-related funds administered by the Food and Health Bureau. The Management of Track Records of Applicants can be downloaded from <http://rfs.fhb.gov.hk>.

## **2.5 Submission of Applications**

- 2.5.1 Applicants are required to submit a complete application package to the Secretariat on or before the deadline of submission specified by the Secretariat. Applications received after the closing date will not be considered.
- 2.5.2 Application without the signature(s) of principal applicant, Head of Agency (in NGO) or Head of Department (in tertiary institution), and authorised persons on behalf of the administering institution and finance office will be treated as incomplete application and will not be considered.
- 2.5.3 The principal applicant should make sure that all Co-applicants endorse the application. All project team members should be well aware of their participation and roles and responsibilities in the project.
- 2.5.4 Administering institutions should make sure that all applicants meet the eligibility requirements before submission of grant applications.
- 2.5.5 The principal applicant shall inform the Secretariat immediately if he/she plans to leave his/her administering institution after submission of application. Failure to do so will result in disqualification of the application.

- 2.5.6 Provision of the ethics approvals during the submission of applications is not required. Principal applicants should submit such approvals (if applicable) as specified by the Secretariat after the announcement of funding decisions. For details regarding Independent Ethics Committee / Institutional Review Board (IEC / IRB), please refer to Section 3 (pages 9 – 12) of the following document published by the International Council for Harmonisation:  
[http://www.ich.org/fileadmin/Public\\_Web\\_Site/ICH\\_Products/Guidelines/Efficacy/E6/E6\\_R1\\_Guideline.pdf](http://www.ich.org/fileadmin/Public_Web_Site/ICH_Products/Guidelines/Efficacy/E6/E6_R1_Guideline.pdf)
- 2.5.7 Principal applicants should ensure that the protocol/scope approved by the relevant regulatory body/IRB (if applicable) is the same as that approved by the HCPS.
- 2.5.8 The application package should contain:
- The original signed Application Form together with all annexes and other additional materials;
  - Soft copies\* (in a single CD-ROM):
    - Application Form in MS Word (PC) format;
    - Full set of Application Form together with all annexes and other additional materials in a single PDF file;
    - Sections 1 to 9 of the Application Form in a single PDF file.
- \* The Administering Institution should collate all the soft copies of applications of the institution and save them in a single CD-ROM for submission.*
- 2.5.9 Applications will not be considered if the information supplied by the applicants is incomplete or inaccurate. The Government reserves the right to request for additional documents and information when processing the applications.

## **2.6 Funding Decisions**

- 2.6.1 Applicants will normally be informed within 6 months of the deadline of submission whether or not their application has been successful. Information about the approved applications will be posted on the Secretariat's website at <http://rfs.fhb.gov.hk> for public inspection.

## **2.7 Project Duration and Expenditure Estimates**

- 2.7.1 Funded projects must start **within 6 months** for grants exceeding \$100,000 or **within 4 months** for grants of \$100,000 or less of the grant approval date and should be completed in 2 years or less.
- 2.7.2 The "commencement date" is the first date on which expenditure is incurred, i.e. the purchase of equipment or the first working day on the project for a member of staff whose salary is funded from the grant. Costs of work incurred before the commencement date or the writing-up of such work are **not** allowed.
- 2.7.3 Claims for reimbursement of expenditure are compared with the approved budget. The principal applicant and the administering institution should submit change request to the Secretariat for prior approval if a claim varies from the estimate.

## **2.8 Reimbursement of Expenditure**

- 2.8.1 **Financial arrangements:** Details of financial arrangements are shown in Appendix B.



- 2.8.2 Costs of Audited Accounts allowable are: (i) HK\$5,000 per project for grant amount between HK\$100,001 and HK\$1,000,000 and (ii) HK\$10,000 per project for grant amount over HK\$1,000,000.
- 2.8.3 For funding amount of HK\$100,001 or above, authorised expenditure, up to 80% of the grant limit, is reimbursed bimonthly in arrears. Actual expenditure is compared with the relevant estimate in the approved budget. The remaining 20% is payable subject to the acceptance of a final report, a dissemination report and an audited account to the satisfaction of the Government.
- 2.8.4 For funding amount of HK\$100,000 or below, authorised expenditure, up to 90% of the grant limit, is reimbursed bimonthly in arrears. The remaining 10% is payable subject to the acceptance of a final report, a dissemination report and a certified financial statement for the grant to the satisfaction of the Government.

## **2.9 Ethics Approval / Consent for Accessing Third-party Data (if applicable)**

- 2.9.1 The status of seeking ethical and other regulatory approvals at the time of submission should be documented on the Application Form. The primary responsibility for seeking relevant approvals rests with the principal applicant. For details regarding Independent Ethics Committee / Institutional Review Board (IEC / IRB), please refer to Section 3 (pages 9 – 12) of the following document:  
*[http://www.ich.org/fileadmin/Public\\_Web\\_Site/ICH\\_Products/Guidelines/Efficacy/E6/E6\\_R1\\_Guideline.pdf](http://www.ich.org/fileadmin/Public_Web_Site/ICH_Products/Guidelines/Efficacy/E6/E6_R1_Guideline.pdf) published by the International Council for Harmonisation*
- 2.9.2 The ethics committee/IRB determines whether or not ethical approval is required for the intended proposal.
- 2.9.3 An ethics approval, prior to the commencement of any project involving human participants, is the prerequisite for the dissemination report to be published in many academic journals. The principal applicant is recommended to obtain written clearance from recognised ethics committee/IRB, or equivalent, prior to the commencement of the project.

## **2.10 Evaluation of Completed Project**

- 2.10.1 The HCPC will regularly assess the outcome and impact on public health promotion of completed projects. Principal applicants are required to submit information for the purpose of project evaluation from time to time.
- 2.10.2 Evaluation of project shall be submitted in the form and within the timeline as specified by the Secretariat. This evaluation gives a snapshot of the project outcomes and the impact on health promotion. Based on the Reach Effectiveness Adoption Implementation Maintenance (RE-AIM) framework developed by Glasgow<sup>2</sup> (1999), the evaluation includes the following dimensions:
- Reach the target population
  - Effectiveness or efficacy
  - Adoption by target settings or institutions
  - Implementation of the intervention
  - Maintenance of intervention effects in individuals and settings over time

A sample of evaluation questions is given in Appendix C.

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<sup>2</sup> Glasgow RE, Vogt TM, Boles SM. Evaluating the public health impact of health promotion interventions: the RE-AIM framework. *Am J Public Health* 1999;89:1322-7.

## **PART 3 STANDARD CONDITIONS OF THE HCPS**

This section sets out the conditions on which the Government supports the HCPS. Non-compliance with these terms and conditions by the principal applicant or the administering institution may result in the suspension of the grant and/or impede the principal applicant's and/or the administering institution's future applications.

Grants will be awarded to applications in the name of the principal applicant with the approved grant allocated to the administering institution. Both the principal applicant and the representative of the administering institution are required to sign a contractual agreement covering the terms and conditions of the research project. A template of the agreement is available from the Secretariat's website for reference.

### **3.1 General Terms and Conditions**

- 3.1.1 The project shall be carried out by or under the general direction of the person named in the Application Form as the principal applicant who shall be responsible for the oversight and management of the project.
- 3.1.2 The Government will withdraw the grant if the project does not commence **within 6 months** for grants exceeding \$100,000 or **within 4 months** for grants of \$100,000 or less of grant approval date.
- 3.1.3 The principal applicant and the administering institution are responsible for ensuring that the project is completed within the financial limits of the grant and must advise the Government immediately of any occurrence which may prejudice the completion of the project within these limits.
- 3.1.4 The administering institution as named in Application Form shall be responsible for the provision of the basic facilities required to support the project.
- 3.1.5 The principal applicant and the administering institution shall submit interim, final and dissemination reports, certified financial statements and/or audited accounts as required by the Government.
- 3.1.6 The principal applicant and the administering institution are jointly and severally responsible for ensuring comply with all conditions contained in this section.

### **3.2 Staff**

- 3.2.1 All employment under projects funded by the HCPS should observe the Laws of Hong Kong.
- 3.2.2 It is the responsibility of the administering institution to enter into contracts of employment with all persons whose salaries are reimbursed from the grant. Such contracts should provide for the rate of pay normally applicable to the appropriate grades of the persons employed by that administering institution.
- 3.2.3 The administering institution shall comply with the relevant Ordinances such as the Employment Ordinances (Cap.57), the Employee's Compensation Ordinance (Cap.282), the Mandatory Provident Fund Ordinance (Cap.485), and the Minimum Wage Ordinance (Cap. 608).

### **3.3 Equipment**

- 3.3.1 Applicants should refer to the contractual agreement (Clauses 14 and 15) for complete details of the requirements related to equipment purchased under the grant. The institution should pay attention to the transparency and fairness in the procurement process and

follow its disposal procedures properly. Where the relevant guidelines are not in place, the institution should adopt the Notes on Acquisition and Disposal of Equipment Items for Institutions without Established Guidelines which can be obtained from the Secretariat.

#### Risk in and title to the equipment

- 3.3.2 Any equipment paid by the HCPS shall be and remain the property of the institution and shall be in the care of, and maintained in good condition, by the administering institution.
- 3.3.3 The risk in and the legal and beneficial title to the equipment shall vest in and remain with the institution as and when it passes upon procurement of the equipment by the institution.
- 3.3.4 The institution (a) shall retain the legal and beneficial title to the equipment from the date of procurement of the equipment until at least 2 years after the closure of the project; and (b) shall not sell, lease, mortgage, charge, create any encumbrance or otherwise part with possession of the equipment or any part thereof during the period from the date of procurement of the equipment until at least 2 years after the closure of the project.
- 3.3.5 For any piece of equipment with unit price more than HK\$200,000, the Government may at any time within 2 years after the closure of the project, or at any time upon the termination of the project, direct the institution to deliver and hand over any or all of such equipment to the Government or Government's nominee at the institution's sole cost and expense. Upon service of a notice on the institution, the legal and beneficial title and ownership to and in that piece of equipment specified in the notice shall vest in the Government absolutely and the institution shall forthwith at its own cost and expense arrange physical delivery of the equipment to the Government.

#### Equipment list

- 3.3.6 Unless otherwise directed by the Government, the institution shall submit to the Government a list of equipment (i.e. inventory register) which has been procured for the purposes of the project. The inventory register should contain (a) serial number or unique stock code; (b) date of purchase; (c) location; and (d) actual value of each item of equipment purchased under the grant.

### **3.4 Finance**

- 3.4.1 Funds will be disbursed by instalments. Details of financial arrangements are shown in Appendix B.
- 3.4.2 The principal applicant and the administering institution shall exercise financial control of the grant. All expenditures on the project shall be met in the first instance by the administering institution, which shall submit bimonthly claims for reimbursement to the HCPC. Such claims shall indicate the category of the expenditure under which they fall, which shall be consistent with Section 10 of the Application Form.
- 3.4.3 The Government shall not be bound to pay for expenditure in any category in excess of the maximum stated in the approved budget or in excess of any amended maximum, which has been agreed in accordance with paragraph 3.11.
- 3.4.4 The Government shall disburse grants only for expenditure properly incurred during the currency of the grant (as stated in Application Form), or as has been agreed in accordance with paragraphs 3.11. The administering institution shall be bound to supply such additional financial information as may reasonably be required by the Government.
- 3.4.5 **Grants exceeding \$100,000.** Authorised expenditures, up to 80% of the grant limit, are reimbursed bimonthly. These are compared with the relevant estimate in the approved budget. The remaining 20% is payable subject to the submission of a final report, a dissemination report and an audited account to the satisfaction of the Government.

- 3.4.6 **Grants of \$100,000 or less.** Authorised expenditures, up to 90% of the grant limit, are reimbursed bimonthly. The remaining 10% is payable subject to the submission of a final report, a dissemination report and a certified financial statement to the satisfaction of the Government.

### 3.5 *Privacy, Confidentiality and Data Protection*

- 3.5.1 The principal applicant and the administering institution are responsible for ensuring that the requirements of any data protection are fully observed. In particular, the principal applicant shall ensure at all times that any personal data collected in the course of the project shall be securely held and handled and that the anonymity of persons to whom the data refer shall be preserved in any report or publication.
- 3.5.2 The principal applicant and the administering institution shall adhere to the Personal Data (Privacy) Ordinance (Cap 486).
- 3.5.3 The information (including personal data) provided in the application form will be used by the Government and the Secretariat for the purpose of assessing applications to the HCPS. For successful applications, such information will also be used for project monitoring, research and statistical analysis, promotion, publicity and dissemination purposes as appropriate.
- 3.5.4 Information provided in this application may be disclosed, if necessary, to the Food and Health Bureau, other Government departments, expert reviewers and other people concerned.
- 3.5.5 Applicants have the right to access and correct the personal data provided in accordance with sections 18 and 22 and Principle 6 of Schedule 1 of the Personal Data (Privacy) Ordinance (Cap 486). Their right of access includes the right to obtain a copy of their personal data provided in the application form.
- 3.5.6 Enquiries concerning the personal data collected by means of this application form, including access and corrections, should be addressed to:

Research Fund Secretariat  
Research Office  
9/F, Rumsey Street Multi-storey Carpark Building  
2 Rumsey Street, Sheung Wan  
Hong Kong

Email address: [rfs@fhh.gov.hk](mailto:rfs@fhh.gov.hk)  
Website: <http://rfs.fhh.gov.hk>

### 3.6 *Reviews on Progress of the Project*

- 3.6.1 An authorised member of the Government or a group appointed on its behalf must, reasonable notice having been given, be allowed to discuss its progress with the principal applicant or the staff involved, and to inspect equipment or other materials provided under the grant.
- 3.6.2 The principal applicant and the administering institution shall provide a progress report on a yearly basis and as may be required by the Government. Such reports must conform to the guidelines issued from time to time by the Government. The timing and frequency of such reports, which shall depend on the nature of the project, shall be notified to the principal applicant and the administering institution by the Government.

- 3.6.3 If after due assessment, the project is considered not to be making satisfactory progress, the Government reserves the right to discontinue the provision of financial support and recover grants paid under the terms of the grant and may seek the return of any funds provided to date.
- 3.6.4 **Within 6 months** for grants exceeding \$100,000 or **within 3 months** for grants of \$100,000 or less of completion of a project, the principal applicant and the administering institution shall provide a final report and a dissemination report to the Government. The reports must conform to any guidelines issued from time to time by the Government.

### **3.7 *Publicity of Financial Support and Project Summary***

- 3.7.1 The Government, the principal applicant and the administering institution may publish details of financial support given for the project and of the summary of the project.

### **3.8 *Acknowledgement, Publication or Disclosure of Results***

- 3.8.1 The Government attaches great importance to the publication of the results of the project undertaken with the assistance of the grant. The principal applicant and administering institution are required to acknowledge the support given to the work by the HCPS, the Food and Health Bureau, and the Hong Kong SAR Government in any published or distributed documents.
- 3.8.2 The principal applicant must inform the Government of any publications or publicity materials pertaining to the work containing results, information or technical knowledge connected with the project and shall forward a copy of the material to the Government.
- 3.8.3 The Government may approach former and current principal applicant at intervals in order to ensure that all relevant publications and other relevant outcomes attributable to the grant have been reported.
- 3.8.4 The Government may, in the interests of public health in Hong Kong, inform any Government bureau /departments or statutory bodies of any results of the project.
- 3.8.5 The Government reserves the right to publish results, findings and any other information provided in applications and in publicity materials.

### **3.9 *Intellectual Property Rights***

- 3.9.1 All rights in the results of the project shall jointly belong to the Government and the administering institution as their absolute property. This does not preclude in any way normal academic and professional use of data and documents, subject to the requirements in 3.8. Applicants should refer to the contractual agreement (Clauses 10 and 11) relating to intellectual property rights and invention.

### **3.10 *Commercial Application of Results***

- 3.10.1 Commercial use of the project results may not be made without the **prior** written consent of the Government. The principal applicant and the administering institution must obtain the Government's approval in advance of any proposed discussion or negotiation with any person, company or firm with a view to the commercial use or other exploitation of such results.
- 3.10.2 The Government reserves the right to be represented in any negotiations held with a view to the commercial use or exploitation of any discovery arising from the project.

### **3.11 Variation of Conditions**

- 3.11.1 No alteration, deletion or addition may be made to any of these conditions or any part of Application Form without the prior agreement in writing of the Government or (if the change is proposed by the Government) of the principal applicant and the administering institution. In particular:
- any change of substance in the objectives of the project;
  - any change of the principal applicant, co-applicants and the administering institution;
  - any change of the maximum expenditure approved for each item of the grant given in Application Form;
  - any change of the type of project staff under approved Staff budget given in the Application Form; and
  - any change in the duration / commencement date / end date of the project

must be so approved. If the Government does not approve a change proposed by the principal applicant and the administering institution, the Government may cancel or renegotiate the arrangements for support of the project and may seek the return of any funds provided to date, if necessary.

### **3.12 Liability of the Health Care and Promotion Committee**

- 3.12.1 Notwithstanding the provision of the grant by the Government, or the compliance by the principal applicant and the administering institution with the conditions of such grant the principal applicant and the administering institution shall remain solely liable for all costs, liability or damages relating to the project and the publication of such work.
- 3.12.2 Without limiting 3.12.1, the principal applicant and the administering institution shall be solely responsible for claims that the project or any part thereof infringes the intellectual property or other rights of a third party.

**ITEMS ALLOWABLE AND UNALLOWABLE FOR REIMBURSEMENT**

***1. Items Allowable***

All expenditure to be covered by the project funds must be exclusively used for the project and incurred within the project period, except otherwise approved by the HCPC. Items requested for funding are considered on a case-by-case basis. The principal applicant should provide detailed justifications for each item. Following are example of allowable items.

**1.1 Staff Costs**

Funds may be requested for the salaries of project staff. Staff cost (full or part-time) includes salary and mandatory provident fund of staff employed.

For example, the payment shall cover 20% of salary for a project staff provided that 20% of the staff's working time is spent on the project.

**1.2 Facilities**

**1.2.1 Computer equipment, software and computing consumables**

The principal applicant should provide valid justifications for purchase of software and computing equipment/facilities. Local departmental computing charges which can be assigned to the project will be considered as an allowable cost, including stationery supplies and software licences. Expenses for computing equipment specific for the project, such as notebook computers, software, etc., will be covered. Central computing facilities remain the responsibility of the administering institution.

**1.2.2 Equipment**

Maintenance costs, service contracts and spare parts for equipment not purchased specifically for the project but used for a significant portion of the project will be paid on a pro rata basis.

For example, a piece of equipment that is used 50% of the time for an approved project and 50% of the time for other purposes will be covered for half of the maintenance costs. When applying for maintenance costs, the principal applicant should specify the piece of equipment to which the costs relate and the percentage of time the equipment will be in use on the project.

Equipment costing less than \$10,000 should be applied for and charged under the other expenses heading.

**1.3 Other Expenses**

**1.3.1 Cost of Audited Account**

HK\$5,000 per project for grant amount between HK\$100,001 and HK\$1,000,000.

HK\$10,000 per project for grant amount over HK\$1,000,000.

**1.3.2 Administrative expenses**

Costs such as printing, telephone, fax, postage, etc are allowed where they are separately metered and can be attributed to a specific project.

- 1.4 Others
- 1.4.1 Incentives  
The purchase of gifts, coupons, etc., as incentives/tokens of appreciation for study participants is allowed if well justified with valid reason(s). A governance system shall be in place to adequately monitor the disbursement of incentives to ensure accountability and traceability.
- 1.4.2 Volunteers' subsidies  
Fee for basic drinks and meals and travelling subsidies are allowed but not to exceed \$70 per day per volunteer.
- 1.4.3 Travel and subsistence  
All reasonable costs associated with conference attendance are supported up to a maximum of HK\$10,000 (e.g., registration, travel, accommodation, subsistence, preparation of materials, etc.).
- The cost of local travel for project staff to attend clinics, training sites, etc., for purposes directly related to the project are allowed.
- 1.4.4 Reference materials  
Purchase of essential reference materials, e.g., textbooks, downloads of articles, etc., is an allowable cost up to a maximum of HK\$5,000.
- 1.4.5 Publication costs  
The cost of disseminating the results of the project in journals, up to a maximum of HK\$20,000, is allowed.
- Printing of promotional or educational materials should be itemised separately.

## 2. **Items Unallowable**

- 2.1 Employment of any applicants listed in Section 9 of Application Form and administrative staff.
- 2.2 Cost of unspecified activities.
- 2.3 General premises costs including:
- construction and maintenance of buildings
  - land purchase/lease
  - refurbishment/renovation/adaptation
  - basic services and utilities (including heating, lighting and communications)
  - lease/rent/rates
  - insurance
  - cleaning/pottering/security/safety
- 2.4 Cost of work incurred before the commencement of the project date, or the writing-up of such work.
- 2.5 Cost of the facilities of the administering institution to which the applicant normally has free access.
- 2.6 Cost of literature surveys.
- 2.7 Staff benefits such as gratuity, bonus, severance payment and untaken leave of staff employed.



- 2.8 All kinds of insurance costs, such as medical insurance and labour insurance.
- 2.9 Procurement of computer equipment and software for general use.
- 2.10 One-off large-scale events (such as banquets, carnival and tours) are not usually supported.
- 2.11 Costs for clearance/approvals/certificates from relevant ethics committees/IRBs and regulatory bodies.
- 2.12 Expenditure solely for recreational/entertainment purposes.
- 2.13 Advertising costs for recruitment of staff.
- 2.14 Expenditure on souvenirs for guests e.g. flowers, corsages, plaque, etc.

## **FINANCIAL ARRANGEMENTS**

### ***1. Approval of Grant***

- 1.1 Two types of grants are available: Grants of \$100,000 or less; and Grants exceeding \$100,000.
- 1.2 Grants of \$100,000 or less are provided for projects or programmes up to \$100,000, or such greater amount as approved by the HCPC. Grants exceeding \$100,000 are provided for programmes or projects with a budget not more than \$1,200,000 or such greater amount as approved by the HCPC. Both grants are made on actual basis with a pre-approved cash ceiling.

### ***2. Payment of Grant***

- 2.1 Grants of \$100,000 or less

Authorised expenditures, up to the 90% of the grant limit, are reimbursed bimonthly. The remaining 10% is payable subject to the submission of a final report, a dissemination report and a certified financial statement for the grant to the satisfaction of the HCPC.

The principal applicant and the administering institution must ensure that the expenditure incurred is within the ambit and the scope of the approved budget. A duly completed reimbursement claim form signed by principal applicant and the administering institution and the supporting documents thereof (including, for the latter, the original of all relevant invoices and receipts or, where invoices and receipts are not available for reasons reasonably accepted by the Government, all declaration of expenditure duly signed by the principal applicant and the administering institution) to request payment by the Government no more frequently than every two months from the commencement date.

The administering institution shall submit the certified financial statement **within 3 months** after the end date or termination of the project, whichever is earlier.

- 2.2 Grants exceeding \$100,000

Authorised expenditures, up to the 80% of the grant limit, are reimbursed bimonthly. The remaining 20% is payable subject to the submission of a final report, a dissemination report and an audited account to the satisfaction of the HCPC.

The principal applicant and the administering institution must ensure that the expenditure incurred is within the ambit and the scope of the approved budget. All payments must be properly documented and recorded. However, there is no need to furnish supporting documents in reimbursement claims. The administering institution is required to submit a duly completed reimbursement claim form signed by the principal applicant and the administering institution to request payment by the Government no more frequently than every two months from the commencement date.

An annual certified financial statement must be submitted covering the 12-month period from the project commencement date. The administering institution shall submit an annual certified financial statement **within 2 months** following the first anniversary of commencement date, and shall submit the audited account **within 6 months** after the end date or termination of the project, whichever is earlier.

### 2.3 Final claim for reimbursement of expenditures

For both grants, claims for reimbursement of expenditures may only cover **the period between the commencement date and end date** of the project. A final reimbursement claim form shall be submitted together with the audited account (for grants exceeding \$100,000) or with the final report (for grants of \$100,000 or less).

**EVALUATION QUESTIONS**

**A. Reach (Individual Level) - the absolute number or proportion, and representativeness of individuals who were willing to participate in your project.**

A1. What were the characteristics of the target participants (e.g. clients/carers/staff)?

A2. The proposed number of participants:  The actual number of participants:

A3. How did the actual participants differ (e.g. number, characteristics) from the target participants? Please select one below.

<b>Completely Different</b>	<b>Mostly Different</b>	<b>Moderately Different</b>	<b>Somewhat Different</b>	<b>No Difference</b>

**B. Efficacy or Effectiveness (Individual Level) - the impact of an intervention on key outcomes, including quality of life, and economic outcomes potential, unexpected negative effects, etc.**

B1. Did you try to evaluate the outcomes of your project?    No        Yes        *Give details below*

Please provide information of the evaluation plan (e.g. outcome measures, indicators, evaluation tools) of your project.

B2. What is the impact of your project? Please give details below.

<b>Key Outcomes</b>	<b>Description</b>	<b>Documented evidence e.g. Effect Size (%)</b>
(i) Knowledge gained		
(ii) Behaviours changed		
(iii) Health status improved		
(iv) Others or any negative effects:		

**C. Adoption (setting and organisational level) - the absolute number, proportion and representativeness of settings and intervention agents (people who delivered your project) who were willing to initiate the programme.**

C1. To your best knowledge, how many organisations have adopted your project or components of your project?

Provide the names of groups, NGOs and government services adopting your project, if any.

C2. Did any partnership(s) form in your project?                      No            Yes            *Give details below*

What partnership(s) has (have) been formed, if any?

C3. Has the project, its services or results been disseminated?                      No            Yes            *Give details below*

Type of Dissemination	Description (e.g. name of conference, references of journals, etc.)	No.
(i) Conference presentations		
(ii) Publications		
(iii) Transfer of knowledge and skills to new settings or locations		
(iv) Others:		

**D. Implementation (setting and organisational level) - How closely the actual implementation met the planned criteria to assure maximum reach and effectiveness?**

D1. How closely the actual implementation met the planned criteria? Please select one below.

No criteria Met	Somewhat Met	Moderately Met	Mostly Met	All Met

D2. Were there any barriers (internal and external) identified for the implementation of your project strategies? No Yes *Give details below*

D3. What solutions did your project develop in response to problems/challenge, if any? e.g. availability, accessibility and affordability of health promotion material, etc.

**E. Maintenance (Individual or setting level) - the extent to which a programme or policy becomes institutionalised or part of the routine organizational practices and policies.**

E1. Has your project been incorporated in the core business of the agencies/organisations? No Yes *Give details below*

In what ways? (e.g. policy, practice, routine services, etc)

E2. Did new structures and processes emerge to enable the ongoing health promotion interventions? No Yes *Give details below*

What are the new structures and processes?

E3. Have funding or supports been sought or secured from other sources to continue or extend your project? No Yes *Give details below*

Provide the resources (e.g. funding amount, manpower, equipment, etc) gained and the name of funding/supporting bodies.

**End of Questionnaire - Thank you!**