HONG KONG METROPOLITAN UNIVERISTY

Guidelines on the Katie Shu Sui Pui Charitable Trust — Academic Publication Fellowship

1. Aims

The Katie Shu Sui Pui Charitable Trust — Academic Publication Fellowship [舒小佩慈善基金 — 學術出版獎學金] (hereafter the "Fellowship") aims to enhance the research culture and academic status of Hong Kong Metropolitan University (HKMU), by engaging research postgraduate students (in MPhil and PhD programmes only) of HKMU in staff's projects. The Fellowship provides financial support to research postgraduate students to support their studies. Recipients of the Fellowship should conduct research work which leads to publication of quality refereed journal papers under the supervision of HKMU staff, and the staff in return benefit from the contribution of the recipients to their research. Only applied research projects are supported by the Trust.

2. Amount and allocation

For each one-year period, each approved research project under the Fellowship is normally given a total of HK$100,000 for a full-time MPhil/PhD student or HK$70,000 for a part-time MPhil/PhD student. For each project, the student recipient takes part in the project of staff member(s) who serve as the supervisor(s) of the recipient. The work for a project can be shared by a maximum of two recipients. When there are two recipients, the amount of Fellowship granted to the project shall be increased to HK$130,000. The amount to be shared by each of the recipients is decided by the supervisor(s) according to the proportion of work allocated to each of the recipients. Under all circumstances, no recipient may work on more than two projects at any one time. Besides, no full-time MPhil/PhD student may receive more than HK$100,000 (one project) or HK$130,000 (two projects) and no part-time MPhil/PhD student may receive more than HK$70,000 (one project) or HK$100,000 (two projects) from the Fellowship in any 12-month period. The Fellowship is paid to each recipient on a quarterly basis, and the last quarterly payment to the recipient(s) will be paid only after the project report has been approved by the Assessment Panel of the Fellowship.

3. Eligibility

Recipients of the Fellowship must take part in research projects and be supervised by staff members within the Fellowship period. The eligibilities of the Fellowship recipients and staff supervisors are as follows:

3.1 Fellowship recipient

- Current student of a research postgraduate programme (PhD or MPhil) of HKMU[1] or prospective student who is in the process of applying to be a research postgraduate student of HKMU[2];
- Having agreed to fulfill the responsibilities specified in section 4.1.

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[1] Full-time staff members of HKMU are not eligible to be a Fellowship recipient.

[2] The earliest start date of the Fellowship should be the commencement date of the student's MPhil/PhD study as defined by the University. A prospective student who is close to completing his or her application to be an MPhil/PhD student OR has been admitted to the HKMU MPhil/PhD programme and waiting for the first semester to start may also apply.

3.2 Supervisor of Fellowship recipient(s)

- An eligible supervisor of Fellowship recipient(s) should be full-time academic staff of the University who is eligible to be a supervisor[3] of research postgraduate students.
- Having a research project as principal investigator, which may involve academics from other institutions as collaborators, with sufficient research work to be carried out by recipient(s) for the one-year Fellowship period;
- Possessing adequate research equipment and facilities for the research project;
- Having agreed to fulfill the responsibilities specified in section 4.2.
- For each project, there can be at most two academic staff of the University serving as the supervisors (one of them as co-supervisor) of Fellowship recipient(s).
- In the event that the staff supervisor(s) leave the University for any reasons during the Fellowship period, another full-time academic staff of the University who fulfills the eligibility requirements of being a staff supervisor will be appointed by the relevant School to take over and complete the unfinished project, and fulfill the manuscript requirements. In the application form of the staff supervisor(s), the back-up academic should put in his/her signature to indicate his/her agreement to serve as the replacement in case the staff supervisor(s) leave the post.

4. Responsibilities of Fellowship recipients and supervisors

4.1 Fellowship recipient

Within the Fellowship in any 12-month period, the terms below apply:
- For a full-time MPhil/PhD student, carry out at least 12 hours and no more than 18 hours of work in one project (or at least 15 hours and no more than 22 hours of work in two projects) per week on average as assigned by the supervisor(s);
- For a part-time MPhil/PhD student, carry out at least 9 hours and no more than 13 hours of work in one project (or at least 12 hours and no more than 17 hours of work in two projects) per week on average as assigned by the supervisor(s).
- When there are two recipients working together for a project, their total work hours per week should be at least 15 and no more than 22 on average but none of them should be expected to work individually for at least 9 hours and no more than 13 hours per week on average in the project.
- The recipient should take part in the project according to the approved project outline and complete the project in good progress.
- The recipient should produce *at least one manuscript*, with the supervisor(s) or the recipient as the first/principal author, for a refereed journal.
- If a recipient cannot complete the project, the recipient may be barred from applying for any Fellowship project of the Katie Shu Sui Pui Charitable Trust for one year.

4.2 Supervisor of Fellowship recipient(s)

The supervisor should:
- Interview candidates to be recipient of the proposed project to ensure that the selected candidate has the required abilities and is suitable for completing tasks of the project;
- Carry out the project according to the approved project outline and complete the project in good progress;

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[3] Full-time staff at the following ranks are eligible to be a supervisor of research postgraduate students: Chair Professor, Professor, Associate Professor and Assistant Professor. Full-time staff at these ranks (except Deans) are eligible to be a supervisor of the Fellowship recipient(s).

- Assign research work to be carried out by the Fellowship recipient(s) throughout the Fellowship period;[4]
- Provide supervision to the recipient(s), including research training of knowledge and skills for carrying out the research work assigned to the recipient(s) and writing the manuscript(s);
- Complete the manuscript(s) and submit it/them to refereed journal(s) within one month after the end of the Fellowship period.
- The supervisor has the responsibility to ensure the completion of the project. If a project cannot be completed, the relevant staff may be barred from serving as a supervisor/co-supervisor for any Fellowship project of the Katie Shu Sui Pui Charitable Trust for one year.

5. Application Procedures

5.1 Preparation of staff research projects

The research projects that Fellowship recipients are involved in are proposed by the staff who are eligible to be a supervisor of Fellowship recipients. The staff should complete the relevant application form available at the website of the Office of Research Affairs and Knowledge Transfer (ORA). In the form, the staff should provide the following information:

a. title and objectives of the research project[5],
b. significance of the research project,
c. research method(s) of the project,
d. tasks to be completed by a Fellowship recipient throughout the Fellowship period, and
e. expected deliverables of the research project.

Each proposed project is taken up normally by one applicant, but a project can be shared by at most two eligible applicants. Information about the projects and contact information of the staff is then disseminated to eligible applicants of the Fellowship.

For projects which require safety/ethical clearance, staff must have obtained safety/ethical approval before the start date of the Fellowship. Application for research safety/ethical approval, with endorsement by the relevant Dean, should be submitted to ORA together with the project outline form. Guidelines and application forms related to safety/ethical review are available at the relevant webpages of ORA (safety review and ethical review).

5.2 Application for the Fellowship

To apply for the Fellowship, an applicant should choose a research project available for the Fellowship, contact the relevant staff and discuss with the staff further details regarding the research project. The topic of the research project chosen by the applicant must be different from that of the project for the applicant's research degree.

The staff should conduct an interview with the applicant(s) by explaining to him/her the work in the project and to ensure the selected applicant(s) is capable of completing the project properly. If any skills are needed for carrying out the project, the staff should ensure that the applicant(s) possess the skills or the staff will provide the training required. If the staff agrees to be the supervisor of the applicant, the applicant should complete an application form available at the website of ORA, obtain the supervisor's endorsement in the form, and submit the form to ORA. Then, ORA passes the application to the Assessment Panel of the Fellowship for approval.

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[4] A supervisor can have recipient(s) of the Fellowship for only one project under his/her supervision at any one time (except for special cases approved by the Assessment Panel of the Fellowship).

[5] The research project proposed by staff should be a new project that is not funded by any other grants. The title of the project will be the title of the paper to be produced in the proposed project.

After the decision on a Fellowship application has been made by the Assessment Panel, ORA notifies the applicant of the result, and specifies the start date of the Fellowship period if the application is successful. The Fellowship recipient(s) should take part in the supervisor's project from the start date.

In general, no Fellowship recipient is allowed to change his/her supervisor during the Fellowship period. Nevertheless, upon mutual agreement, the Fellowship recipient, the current supervisor and the new supervisor[6] may submit an application together to the Assessment Panel via ORA for having a new supervisor and changing the current supervisor to be a co-supervisor. The Fellowship period for the recipient will not be extended because of any supervisor change. The Fellowship recipient should complete the research tasks assigned by the new supervisor, including the preparation of the manuscript of a journal article before the end of the Fellowship period.

The Assessment Panel expects that (a) the title of the journal article should be the same as that indicated in the application form[7] and (b) the authors of the journal article should include *only* the staff supervisor (and/or the replacement colleague in case the staff supervisor leaves his/her post), the co-supervisor (if any), and the Fellowship recipient(s) of the project[8]. Under normal circumstances, the aforementioned guidelines must be strictly followed and adding other co-authors to the journal article is not allowed. In case the staff supervisor or the Fellowship recipient plan to submit journal article(s) that are not in line with (a) and/or (b), he/she must submit an application (by a memo stating his/her reason) to the Assessment Panel via ORA for prior approval.

6. Acknowledgement

The Fellowship must be acknowledged in all publications derived from research supported by the Fellowship.[9] Both the supervisor and the Fellowship recipient must specify HKMU as their affiliation. Either the supervisor or the Fellowship recipient must be the first/principal author of the publications. In all publications derived from research supported by the Katie Shu Sui Pui Charitable Trust — Academic Publication Fellowship, the Fellowship should be acknowledged in the following format:

> 'The work described in this paper was supported by the Katie Shu Sui Pui Charitable Trust — Academic Publication Fellowship (Project Reference No.).'

7. Assessment and approval of applications

All applications are considered for approval by the Assessment Panel of the Fellowship. The resolutions of the Panel will be made through document circulations among its members. The Panel has sole discretion in approving the applications.

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[6] The new supervisor must not have another project under the Fellowship as a supervisor.

[7] If more than one refereed journal paper will be produced, one of the papers will carry the title of the project. In case the project title is not used as the title of any of the papers from the project, prior approval is necessary.

[8] If there is no co-supervisor and there is only one Fellowship recipient in the project, the paper should have only two authors; and in case there are two Fellowship recipients in the project, there will be only three authors. If there is a co-supervisor and there is only one Fellowship recipient, there will be three authors, and in case there are two Fellowship recipients in the project, there will be only four authors. Requests for additional authors will not be accepted.

[9] The Fellowship should normally be the ONLY funding support for the publication. In case the supervisor, co-supervisor or the Fellowship recipient(s) intends to acknowledge another funding support, prior approval from the Assessment Panel is necessary.

8. Reporting

Within one month after the end of the Fellowship period, the recipient(s) and the supervisor should submit a report together with the manuscript(s) produced from the research project via ORA to the Assessment Panel for endorsement on completion of the research project. The report should include outcomes of the research work and the supervisor assessment of the recipient's performance, together with the manuscript(s) produced and the record of their submission to refereed journal(s). The Fellowship recipient's performance is taken into account by the Panel when the recipient applies for another round of the Fellowship.

9. Patent applications and royalty sharing

In case the deliverable generated from the research can be commercialized and lead to a patent, the ownership of the patent should follow the plan as specified in the *Policy on Intellectual Property* of the University.

If any invention from the research leads to any royalty, the income should be shared between the supervisor and the HKMU according to the *Policy on Intellectual Property*.

10. Enquiries

General enquiries concerning the Fellowship can be sent to Ms Candy Leung of ORA at chileung@hkmu.edu.hk

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Personal Data (Privacy) Notice

You must provide the personal data required by the application form. The information is required for research administration and the consideration of the Assessment Panel of the Katie Shu Sui Pui Charitable Trust — Academic Publication Fellowship in regard to your application. The University will keep such data confidential. Failure to supply such information may result in the application not being considered.

You have the right to request access to and the correction of the personal data. If you wish to do so, please write to:

Secretary, Assessment Panel of the Katie Shu Sui Pui Charitable Trust — Academic Publication Fellowship
Office of Research Affairs and Knowledge Transfer
Hong Kong Metropolitan University
Homantin, Kowloon, Hong Kong

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