



**THE UNIVERSITY OF HONG KONG – FUDAN UNIVERSITY
IMBA JOINT RESEARCH FUND**



GUIDELINES

1 AIM

- 1.1 The IMBA Joint Research Fund was first established in 2003 by the School of Management, Fudan University (FDU hereinafter) and the Faculty of Business and Economics, The University of Hong Kong (HKU hereinafter) with the aim of promoting the quality of research in both Universities and encouraging a higher level of collaboration through providing funding to research projects jointly held by faculty members of both Universities.
- 1.2 In order to further enhance collaboration between the two Universities, it was agreed at the meeting of the Joint IMBA Programme Supervision Committee (IMBAPSC) held on January 21, 2010 that the Fund would be revitalized with additional funding injection.

2 ORGANIZATION

- 2.1 Under the delegated authority of the IMBAPSC, the Fund shall be administered by an administering Committee comprised of the Associate Deans (Research) of FDU and HKU, Academic Directors of the Programme, and two other teachers appointed by the IMBAPSC. The two Associate Deans will chair the administering Committee in alternate academic years.
- 2.2 The administering Committee will provide overall governance of the Fund including the award of grant, project review and financing.

3 ELIGIBILITY

- 3.1 Applications for the Fund are extended to all full-time teachers in both FDU and HKU. Each application should be jointly submitted by at least one FDU and one HKU teachers.
- 3.2 For pure case development proposals, priority will be given to teachers teaching in the IMBA Programme.

4 SELECTION CRITERIA

- 4.1 The following criteria will be used in assessing the fundability of a proposal:
 - 4.1.1 Merits of the proposal;
 - 4.1.2 Amount of funding requested;
 - 4.1.3 Expected output;
 - 4.1.4 Availability of other funding sources; and
 - 4.1.5 Prospect of external funding.

5 APPLICATION PROCEDURES

- 5.1 Applications are invited once per year, normally in November. Completed application forms should be submitted to the administering Committee via the respective programme offices.
- 5.2 Applications must be made before the specified deadlines as notified in the call circular of the applicants' respective Universities. Applicants must provide all information required in the application form. The administering Committee reserves the right not to consider an application which is incomplete or not in the specified format.
- 5.3 The administering Committee may seek advice about an application from whatever source it thinks appropriate. The Committee reserves the right not to provide financial support for a proposed project, or to provide only partial funding for a project; and will not entertain any appeals against the funding decisions, or any request for supplementary funding.
- 5.4 By submitting an application, the Principal Investigators (PIs) undertake to ensure that if the project is funded, any necessary research ethics approval will have been obtained before work on the project begins.

6 FUNDING AND FINANCES

- 6.1 The Fund normally supports research projects for up to three years. The grants offered for each project, as a general rule, will not exceed RMB100,000.
- 6.2 The Fund supports each research project once; and no continuation funding will be granted.
- 6.3 Funding granted is subject to the respective reimbursement rules and financial procedures at FDU (Annex I) and HKU (Annex II).
- 6.4 In compiling the budget, PIs should note that certain budget items may be supported only if specific justifications are provided. These items include, but are not limited to, salary for research support staff, equipment purchases, and overseas field trips for the purpose of data. Entertainment, professional membership fees, journal subscription fees and remuneration for PIs or Co-Is will not be funded.
- 6.5 PIs should indicate in the application form the division of fund between the two Universities.

7 ADMINISTRATION, MONITORING ARRANGEMENT AND ASSESSMENT

- 7.1 Successful applicants will receive from the administering Committee an award letter detailing the duration of the project, the sum awarded, any approval for specific expenditure items, any special conditions which may apply, and comments on their proposals in due course. In accepting the grants, the PIs undertake to disseminate the project outputs at a seminar held for the faculty members of the IMBA Programme.
- 7.2 Successful PIs, after consulting their counterparts in the other institution, should within one month of the issue of the award letter confirm acceptance of the funding and provide a revised budget for the project, if applicable – that is, a budget based on the expenditure proposals in the original application, but tailored to fit the sum awarded. Revised division of fund between the two Universities should also be submitted.
- 7.3 If PIs wish to change the approved expenditure pattern, they must seek prior approval by the administering Committee through the programme offices of their respective Universities within 6 months (for 1-year project) or 1 year (for 2-year and 3-year project) from the project start date.

- 7.4 PIs must follow the prescribed ordering, tendering and appointment procedures for all items of expenditure as specified by their respective Universities.
- 7.5 Equipment and other items purchased with the funding remain the property of the two Universities. The two Universities reserve the right to re-deploy the equipment on completion of the project.
- 7.6 The administering Committee will not normally allow extensions beyond the project completion date specified in the award letter. Request for extension should be made at least one month before the project completion date. Expenses beyond the project completion date will not be reimbursed.
- 7.7 The funding is PI-based and no takeover or transfer will be permitted. Where a PI leaves his/her serving institution before completion of the project, the project will be terminated and no reimbursement will be made.
- 7.8 Assessment
- 7.8.1 PIs must submit final reports on funded projects within 6 months of the project end date. Projects will be assessed following receipt of final reports. The administering Committee will make its assessments on the basis of the outputs achieved relative to the expected outputs that were stated at the time of application.
- 7.8.2 If a project gets unsatisfactory conclusion after a review, the administering Committee may consider ceasing funding to the project. In addition, PIs and Co-Is of the project may be denied to apply for this fund again in the next two years after the review.
- 7.9 A suitable acknowledgement of the support from the HKU-Fudan IMBA Programme must be included in any report, publication or other forms of output arising from a research project funded wholly or partially by the Fund.

8 ABOUT THE GUIDELINES

- 8.1 These guidelines have been accepted and signed by the two Universities.
- 8.2 These guidelines are subject to review by the IMBAPSC. Amendments thereto shall be made with the agreement of the IMBAPSC.

November 2013

October 2014

November 2015

April 2016

香港大学-复旦大学 IMBA 共同研究基金 总则

1. 宗旨

- 1.1 本 IMBA 共同研究基金由复旦大学管理学院（以下简称 FDU）与香港大学经济与工商管理学院（以下简称 HKU）于 2003 年共同创立，其宗旨是通过为双方教师合作开展的研究项目提供基金，致力于提高双方院校的科研总体水平并积极鼓励双方的进一步合作。
- 1.2 为进一步加强双方院校的合作，双方在 2010 年 1 月 21 日召开的 IMBA 合作项目指导委员会（IMBAPSC）会议上同意对该基金进行追加注资。

2. 组织

- 2.1 经 IMBAPSC 授权，本基金应由专设之管理委员会进行管理，其成员包括 FDU 及 HKU 双方主管科研副院长，项目学术主任以及由 IMBAPSC 委任的两位教师。双方副院长将按学年轮流担任该管理委员会的主席一职。
- 2.2 管理委员会将负责该基金的总体管理，包括批准拨款、项目审查及融资。

3. 申请资格

- 3.1 FDU 与 HKU 的所有全职教师均可申请本基金。每次申请均应由至少一名 FDU 教师和一名 HKU 教师共同提出。
- 3.2 对于纯粹的案例开发项目，本基金将优先考虑在 IMBA 项目中任教的教师。

4. 选拔标准

- 4.1 在评估是否为研究计划提供资金支持时，将采用以下标准：
 - 4.1.1 计划/项目的可行性及价值；
 - 4.1.2 申请资金数额；
 - 4.1.3 预期成果；
 - 4.1.4 是否有其他资金来源；以及
 - 4.1.5 取得外部资金支持的可能性。

5. 申请步骤

- 5.1 该基金每年一次公开接受申请，通常在 11 月。申请人填写好申请表后应通过各自的项目办公室向管理委员会提交申请。
- 5.2 申请人必须在各自院校的申请通告公布的截止日期前提交申请。申请人必须提供申请表中要求的全部信息。管理委员会有权不受理信息不完整或未按指定格式填写的申请。
- 5.3 管理委员会可通过其认为适当的任何渠道寻求有关申请的建议。该委员会保留不向提议项目提供资金支持，或仅提供部分资金支持的权利；并且不会接

受任何不服拨款决定而提起的申诉或者要求追加拨款的请求。

- 5.4 在提交申请后，项目负责人（PI）保证一旦项目获得资金支持，将在项目工作开始之前取得必要的研究道德许可。

6. 资金与财务

- 6.1 本基金对研究项目的资助年限通常最多为三年。一般情况下，每个项目所获的资金支持将不超过 10 万人民币。
- 6.2 本基金只资助每个研究项目一次；并不会对项目提供持续的资金支持。
- 6.3 所拨付资金将受到 FDU 和 HKU 各自的偿付规则与财务流程的约束，有关细节请参阅附件一（FDU）和附件二（HKU）。
- 6.4 在编制预算时，项目负责人应注意某些预算项目（例如：研究支持人员薪水、设备采购以及为采集数据而进行的国外考察、等）只有在提供正当理由时才可予以拨款。但招待费、专业会员费、期刊注册费以及项目负责人或项目研究人员报酬将不得予以拨款。
- 6.5 项目负责人应在申请表中说明资金在两所院校间的分配比例。

7. 管理、监督机制及评估

- 7.1 成功的申请人将在适当的时候收到管理委员会的中标函，其中详细说明了项目的期限、批准资金数额、特别支出项许可、可能适用的特殊条款以及对项目的评价等。在接受资助时，项目负责人同意在 IMBA 项目教师的研讨会上对项目成果进行通报。
- 7.2 申请成功的项目负责人，在与对方院校的合作人商议后，应在收到中标函后的一个月内确认接受资助并提供更新的项目预算--该预算以申请时提供的支出计划为基础，并根据批准的资金数额进行调整。同时项目负责人还应提供资金在双方院校间的最新分配方案。
- 7.3 如果项目负责人希望修改已批准的支出模式，他们必须在项目开始后 6 个月（一年期项目）或 1 年（两年或三年期项目）内通过各自院校的项目办公室事先取得管理委员会的许可。
- 7.4 项目负责人必须遵守各自院校所有指定支出项目的订购、招标及委任程序。
- 7.5 用资助资金购买的设备及其他物品属于双方院校的资产。双方院校有权在项目完成后对设备进行重新调配。
- 7.6 管理委员会通常不允许在中标函中规定的项目完成日期后对项目进行延期。要求延期的申请必须至少在项目完成日期前一个月提出。项目结束日期以外产生的费用将不予以报销。
- 7.7 资助资金由项目负责人全权管理，不得由他人代管或进行转让。如项目负责人在项目完成前离开其供职单位，项目即终止并且不作出任何补偿。

7.8 评估

7.8.1 项目负责人必须在项目结束后 6 个月内提交资助项目的最终报告。管理委员会将在收到最终报告后对项目进行评估。管理委员会将基于项目取得的实际成果与申请时预期成果的比较对报告进行评估。

7.8.2 如果项目的评估结果不甚理想，管理委员会可能会考虑停止对项目的资助。此外，项目负责人和项目研究人员在评估后的两年内都将不能再次申请资金支持。

7.9 任何获得基金全部或部分支持的研究项目都必须在其报告、出版物或其他形式的成果中以适当的形式对香港大学-复旦大学 IMBA 项目的支持表示感谢。

8. 关于总则

8.1 该总则经由双方学校签字同意。

8.2 该总则须接受 IMBAPSC 的审核。经 IMBAPSC 同意可对该总则进行修正。

二〇一四年十月

二〇一五年十一月

二〇一六年四月



关于港大-复旦 IMBA 项目共同研究基金实施细则的修订

根据复旦大学管理学院的要求与统一安排，各项目共同研究基金运作须保持一致性；另，鉴于近年来复旦大学财务制度趋于从紧，财务报销日趋严格，为更好的适应新常态下的财务制度，现拟对港大-复旦 IMBA 项目的共同研究基金（JRF）的规定和实施细则进行讨论和修订，具体修订的内容如下，未提及之处按照原规定执行：

1. 合作研究项目资助的期限由原来的二年延长为三年；
2. 合作研究的成果应该投至复旦大学管理学院所规定的 A-或以上等级的杂志，并且在项目启动后三年内至少通过第二轮的 review，或者通过该合作研究计划得到国家自然科学基金或者国家社会科学基金国际（地区）合作研究计划的资助。如果上述目标没有达成，则复旦方参与的教师暂停三年本合作研究计划申请的资格，并扣发二年复旦管理学院教师科研资助额度 50%；
3. 申请的老师必须遵守共同研究基金的相关规定，同时必须遵守各自学校和学院的规定；
4. 双方老师各自遵守各自学院的财务制度实施财务报销。如有冲突，以各自学校、学院的规定为准。

港大-复旦 IMBA 项目

2015 年 11 月

