



CONSTRUCTION
INDUSTRY COUNCIL
建造業議會

Construction Industry Council

Research Policy

January 2017

*(This version of Research Policy applies to
research projects commencing since 2017)*

Enquiries

Enquires may be addressed to the CIC Secretariat:

Address: 38/F, COS Centre
56 Tsun Yip Street
Kwun Tong, Kowloon

Telephone: 2100 9000

Fax: 2100 9090

Email: enquiry@cic.hk

Website: [www. cic.hk](http://www.cic.hk)

1. Background

The Construction Industry Council (CIC) was formed on 1 February 2007 in accordance with the Construction Industry Council Ordinance (Cap. 587). Under the Ordinance, one of the main functions of CIC is to encourage research activities and the use of innovative techniques and, to establish or promote the establishment of standards for the construction industry.

CIC will consider providing funding support for research projects which aim to benefit the local construction industry through practical application of the research results, covering the areas of productivity, safety and health, sustainability and procurement.

CIC from time-to-time identifies the needs of the construction industry on research projects and initiates research projects through inviting appropriate service providers to conduct the research.

2. Introduction

CIC encourages research activities through investing and/or collaborating in research studies.

There are two major approaches adopted by CIC to support research:

- i. Research initiated by Research Institutes with practical values or benefits to the industry at large. Relevant assessment procedures are stated in this document.
- ii. Research initiated by CIC e.g. studies on specific scope to facilitate policy formulation or technology advancement, preparation of references for promotion of good practices and improvement measures, etc. The selection of a Research Institute for the research initiated by CIC will go through an appropriate tender exercise.

3. Assessment Framework

To encourage more research which can benefit the local construction industry through the application of research outcomes, CIC sets aside reserve for providing funding support for research projects.

3.1 Eligibility for Application

All Research Institutes established or registered under the laws of the Hong Kong Special Administrative Region are eligible to request funding support from CIC for conducting research in relation to the construction industry in Hong Kong.

The proposed research must relate to the construction industry in Hong Kong and the anticipated research outcomes can be put into practical use.

3.2 Application Procedures

CIC will invite research proposals from Research Institutes on a regular basis. The proposals shall be returned to CIC within the time specified in CIC's invitation.

Research Institutes should complete the "Application Form for Research Funding from the Construction Industry Council". This form can be downloaded from the CIC website. The application form should be completed in English.

When submitting an application, Research Institutes shall provide the following documents to the CIC Secretariat by post or in person or by electronic means:

- Completed application form duly signed by the nominated Principal Investigator and endorsed by the Research Institute;
- Letter(s) of support from collaborating organisation(s) and/or industry stakeholders, if applicable;

- Letter(s) from sponsoring organisation(s) pledging the sponsorship, if applicable;
- A research proposal of no more than six pages. The coverage of proposal is set out in the template for Research Application Form under separate cover; and
- One page Curriculum Vitae (CV) for each of the key members of the research team including declaration of potential/actual conflicts of interests concerning CIC;

CIC will send an acknowledgement to the applicant within 5 working days upon receipt of an application.

3.3 Assessment Procedure

The assessment of received research proposals generally follows the steps below:

- i. The CIC Secretariat will conduct a preliminary screening of each application, and may seek clarification or supplementary information from the Research Institute;
- ii. The Task Force on Research (TF-RES) will evaluate and shortlist the research proposals;
- iii. The CIC Secretariat will seek endorsement on the shortlisted proposals from the relevant committees in CIC; and
- iv. CIC will notify the Research Institutes in writing of the assessment result. An Agreement will be signed between the Research Institute and CIC. The final research proposal will form part of the agreement.

In the course of assessment, the Principal Investigators may be required to present its research proposal to CIC, its committees, task forces and/or panels, may also be requested to make revised submission.

The flowchart at Annex A summarises the assessment procedure for the research initiated by Research Institutes.

3.4 Assessment Criteria

The key assessment criteria are as follows:

i. Value of Research

- whether the outcome of the research is of practical use to the construction industry of Hong Kong;
- whether the research can benefit the construction industry in terms of productivity, site safety and health, sustainability and procurement; whether site trials and practical tests is included to verify the findings of the research;
- whether industry stakeholder to collaborate with the Research Institute is relevant for practical implementation of the research;
- whether manufacturing / supply chains of new technologies / construction materials / processes, etc. will be identified.

ii. Cost-effectiveness

- whether the outcomes of the research can be readily put into use by industry stakeholders in a timely and cost effective manner;
- whether the cost of the research is justified and broadly commensurate with the expected results;
- whether there is/will be any duplication in terms of work of other institutions/organisations.

iii. Project Implementation

- whether the management capabilities of the research team are good, taking into account the research team's experience, qualifications, track record and resources available for the research;
- whether the research methodology, coverage, activities, contents and deliverables can meet the research objectives;
- whether the proposed timetable is reasonable and realistic.

3.5 Research Budget

The research budget should be clearly stated. The budget should be broken down into detailed expenditure (and sponsorship, if any) items to be incurred between the commencement and completion dates of the research.

The following expenses should not be included in the funding application: staff costs unless the staff is employed specifically for the research, the costs of setting up an office, the formation or establishment of a limited company or organisation, property acquisition expenses, rental/renovation expenses for setting up an office, depreciation/ amortisation or provisions not representing actual expenses incurred, entertainment expenses, meals, local travelling expenses, cash prizes for competitions, participation fees at study/trade missions for individuals/ companies, capital financing expenses (e.g. mortgage and interest on loans/overdrafts), and other costs not related to the research.

3.6 Approved Funding

The approved funding for an approved research may be less than that requested if CIC considers that any of the expenses are excessive or do not fall within the scope of funding.

Any record of mishandling of approved funds or lack of discipline in financial management is a factor which CIC will take into account in considering future requests from the same Research Institute or the same research team. CIC reserves the right to claim against the Research Institute for any loss, damages, costs, expenses and liabilities suffered or incurred by CIC in connection with or by reason of the Research Institute's failure to handle approved funds properly.

4. Implementation

4.1 Audit Right

The Research Institutes are required to keep proper and separate books and records for the approved research in accordance with the prevailing accounting standards and practice for at least two years after completion of the approved research unless otherwise specified by CIC. In this connection, CIC may conduct financial audit and inspection of such books and records by CIC or its agent at any time during the research period and up to two years after the approved research is completed.

4.2 Payment and Accounting Arrangement

Subject to the terms and conditions of the Agreement, funds will be disbursed in accordance with a payment schedule as agreed by CIC and the Research Institute. Unless otherwise specified, the cost of the research shall be payable by CIC in form of quarterly instalments during the research Period. The last Payment shall become payable upon the endorsement of the Final Report and research deliverables by CIC.

CIC reserves the right to withhold any payments to the Research Institute if there is any delay in the submission of progress/research reports for the approved research or the reports not prepared to the satisfaction of the CIC or non-achievement of the milestones identified by the Research Institute in the research proposal.

Upon completion/ termination of an approved research, the Research Institute is required to submit a certified statement of project accounts to CIC within the time specified by CIC. The project accounts should be audited by an independent auditor.

4.3 Reporting Requirements

To facilitate the monitoring and evaluation of the approved research, the Research Institute will be required to submit progress and/or research reports. In addition to the reporting requirements, CIC may organise visits or progress

review meetings, which shall be attended by the Research Institute and/or key members of the research team.

i. Progress Reports

The Research Institute is required to submit progress reports for the approved research at every three months. The format of the progress reports will be specified by CIC. The progress report shall include but not limited to progress of key activities, achievement of the expected deliverables, consultation made, work to be carried out in the remaining research period.

ii. Research Reports

The Research Institute shall submit a final research report of the approved research in a format specified by CIC before the research completion date as stated in the research agreement. Among other things, the final research report should include detailed methodology of the research, views from the relevant stakeholders, quantifiable results (where applicable) and achievements of the research, an evaluation of the deliverables of the research, and proposed way forward. In order to benefit the industry, information in the research report may be made public and disseminated to the relevant stakeholders as deemed appropriate by CIC. Interim research reports may also be required by CIC or submitted by the Research Institute as specified in the research proposal, as appropriate.

5. Project Evaluation

Effectiveness of an approved research will be assessed by comparing the research results against its original objectives and deliverables as set out in the research proposal. Where appropriate, the research report will be submitted to CIC, its committees, task forces and/or panels for consideration and comments. The Principal Investigator may be invited to meetings and to present the research results.

The outcomes of each approved research will be evaluated and unsatisfactory evaluation results may affect the future chance of the same applicant / research team in obtaining CIC funding.

6. Other Administrative Details

6.1 Contractual Requirements

The Research Institute shall be required to sign an Agreement prepared by CIC for conducting an approved research and on such terms and conditions as determined by CIC. The Agreement will contain the terms and conditions of the funding. The Research Institute shall comply with all the terms and conditions of the Agreement.

6.2 Prior Approval Requirements

An approved research shall be carried out strictly in accordance with the Agreement. Any modification, amendment or addition to the research or the Agreement, including change of the research period, scope, and replacement of the Principal Investigator / key research team member shall require prior written approval by CIC.

6.3 Suspension or Termination of Funding Support

CIC reserves the right to suspend or terminate funding support for an approved research if, for example, the progress of the approved research is unsatisfactory, or the chance of completion of the approved research is slim, or there is a breach of the terms and conditions of the Agreement, or if CIC sees it fit to terminate the approved research in the interests of CIC because of changed circumstances.

The Research Institute may have to return all / part of the funds within the time specified by CIC upon suspension or termination of an approved research. CIC reserves the right to claim from the Research Institute all/part of the funds that have been granted and used.

6.4 Transfer of an approved research

Prior written approval from CIC is required if the Research Institute intends to assign or transfer or subcontract all or part of an approved research to another party.

6.5 Intellectual Property Rights

CIC shall own all Intellectual Property Rights arising from the approved research. If the associated Intellectual Property Rights are partly attributed to the Research Institute's previous work not funded by CIC, the ownership of the Intellectual Property Rights shall be discussed and agreed between CIC and the Research Institute on a case by case basis.

CIC shall have the rights to freely use or publish the results arising from an approved research. CIC can freely quote the Research Institute's name in any publications when referring to the respective approved research.

Subject to the consent of CIC, the Research Institute may also use or publish the data and findings obtained from the approved research for educational or non-profit-making purposes. This requirement of obtaining consent of CIC shall not apply to information in the public domain.

6.6 Acknowledgment of Support and Disclaimer

Acknowledgment of the CIC support with a disclaimer as follows should appear on all publications by the Research Institute arising from the approved research:

"This publication was made possible by the research funding from Construction Industry Council. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of Construction Industry Council."

6.7 Handling of Information

All personal data submitted to CIC are handled in accordance with the relevant provisions of the Personal Data (Privacy) Ordinance. In this regard, the personal data provided in relation to applications for the CIC funding will be used by CIC or its authorised agents for activities related to:

- the processing and authentication of applications for funding support, if any, payment of grants under CIC and any refund thereof; and
- statistics and research.

The personal data that the Research Institutes provided in their applications will be kept in confidence. The data may however be disclosed to third parties in

Hong Kong or elsewhere, if such disclosure is necessary for the purposes mentioned above, is authorised or required by law, or if explicit consent to such disclosure is given by the Research Institutes / data subjects.

If necessary, CIC will contact Government departments and relevant parties to verify the personal data provided in the applications with those held by them for the purposes mentioned above.

Research Institutes / data subjects whose personal data are collected by CIC may request access to them under the Personal Data (Privacy) Ordinance. A charge will be made to cover the cost of photocopying the data supplied. If the data subject considers that the data supplied to CIC is inaccurate, a request for correction of the personal data may be made in writing.

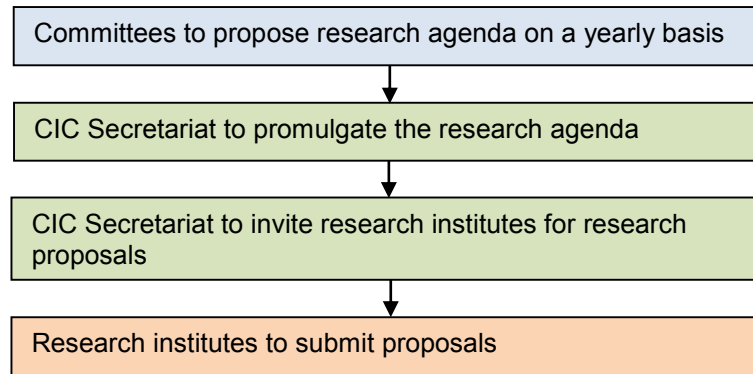
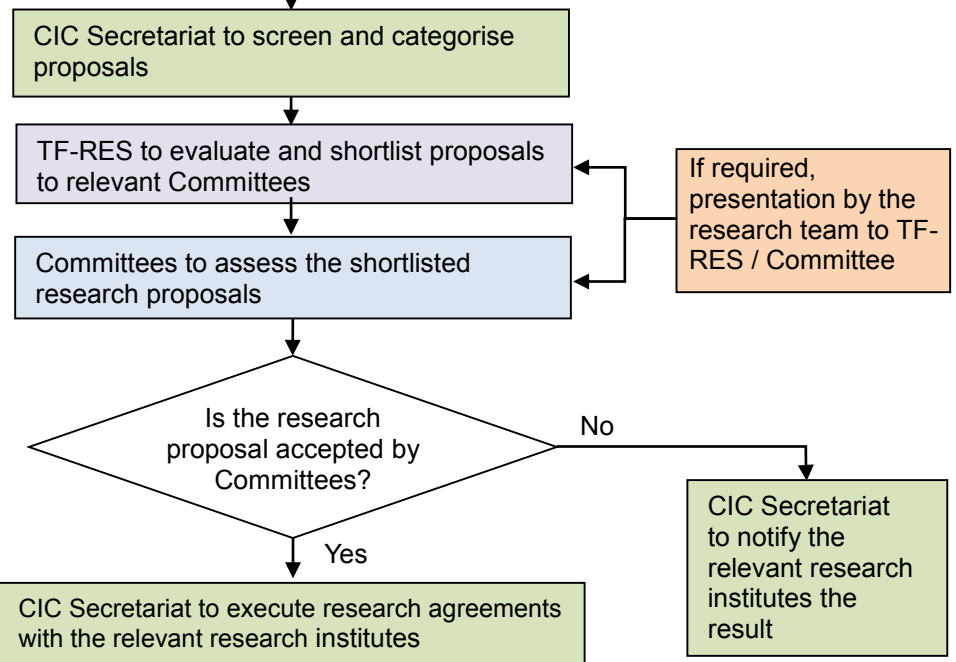
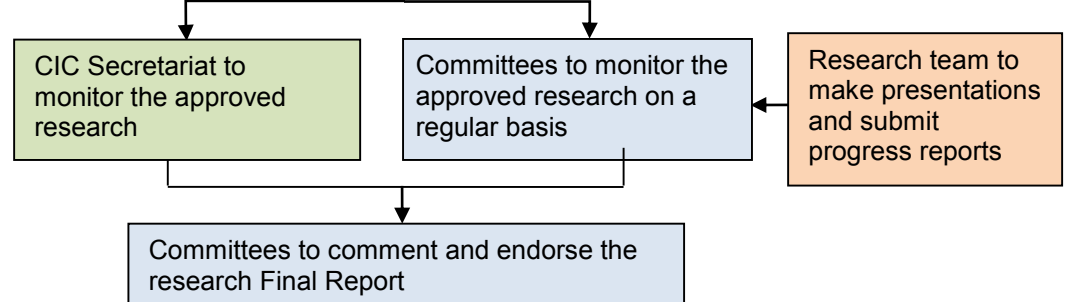
6.8 Prevention of Bribery

The offer of an advantage to any officers or representatives or members of CIC with a view to influencing the approval of the application is an offence under the Prevention of Bribery Ordinance. Any such offer by the Research Institute or his employee(s) or agent(s) will render the application null and void. CIC may also cancel the application approved and hold the Research Institute liable for any loss or damage which CIC may sustain.

6.9 Indemnity

The Research Institute shall indemnify CIC against all loss, claims, demands, damages, costs, expenses and liabilities suffered or incurred by CIC or which may be brought or established against CIC arising out of the breach of any of the terms and conditions of the Agreement by the Research Institute. The Research Institute, whether successful in seeking funding support or otherwise, or any employees, agents, servants or associates of the Research Institute shall not seek or claim any compensation, reimbursement, damages, indemnity or waiver from CIC in relation to the preparation and submission of its research proposal.

Committees
Task Force-Research
CIC Secretariat
Research Institutes

Operation Framework of CIC Research Fund**(a) Invitation****(b) Assessment & Approval****(c) Monitoring****(d) Implementation**