**Annex B**

*(to the Guidance Notes)*

**(Template)**

**Summary on New Proposal for**

**InnoHK Research Clusters**

***[Notes to Research Centre / Laboratory:***

*1. Format Requirements*

* *Please do not amend the template.*
* *Please use Times New Roman 12 point font, margin 2.5cm all around and single-line spacing.*
* *In completing this document, please remove our ‘Note to Research Centre/ Laboratory’, i.e. blue text.*
* *Please strictly follow the page limits set out in respective Appendices.*
* *Please adopt the format and presentation style in the sample provided as far as possible.*

*2. Please ensure consistency and accuracy of information provided.****]***

**I. Overview**

Proposed InnoHK Research Centre/ Laboratory:  **Name**

InnoHK Cluster:  ***Health@InnoHK / AIR@InnoHK / SEAM@InnoHK \****

*(\* delete where inappropriate)*

Proposed Operating Period: DD MMM YYYY to DD MMM YYYY

Head of Research Centre / Laboratory: **Name** (Institute)

Co-Head (if applicable): **Name** (Institute)

Proposed Budget for the Entire Operating Period: **HK$XXX.XXM**

(For ***SEAM@InnoHK*** only)

Research Area(s): □ Sustainable Development

□ Energy

□ Advanced Manufacturing

□ Materials

*(please put “✓” into one or more of the above boxes)*

Other Research Areas (if any): Name of Research Areas

No. of Research Programmes (RPs) and Projects: X RPs with X projects

**II. Other Details**

|  |  |
| --- | --- |
| **(a) Parent Institute and Collaborator(s)** | |
| 1. **Confirmation of Support by the Parent Institute** *(p.xx-xx of the Proposal)* | **Name of Parent Institute** (Parent Institute Abbrev):  Support letter(s) provided |
| 1. **Confirmation of Support by Major Research Collaborator(s)** *(p. xx, xx-xx)* | **Proposed Local Collaborator(s)**   1. University / Research Institution:   **Name of Collaborator(s)** (Collaborators’ Abbrev)   1. Industry Collaborator:   **Name of Collaborator(s)** (Collaborators’ Abbrev)  **Proposed Non-local Collaborator(s)**   1. University / Research Institution:   **Name of Collaborator(s)** (Collaborators’ Abbrev)   1. Industry Collaborator:   **Name of Collaborator(s)** (Collaborators’ Abbrev)  All with support letter(s) provided |
| 1. **Academic Standing & Achievements in relevant fields** *(p. xx, xx-xx)* | |  |  |  | | --- | --- | --- | |  | **Ranking** | | | **University / Research Institution** | **QS 2025** | **Other Indicator(s)** | | Parent Institute Abbrev | *(subject(s)/ ranking(s))* | *(subject(s)/ ranking(s)/ year)* | | Collaborators’ Abbrev | *(subject(s)/ ranking(s))* | *(subject(s)/ ranking(s)/ year)* | |
| **(b) InnoHK Research Centre / Laboratory** | |
| 1. **Vision & Mission**   *(p. xx, xx-xx)* | Vision: XXX  Mission: XXX  Executive Summary **(Appendix 1)** |
| 1. **Ownership & Governance Structure**   *(p. xx, xx-xx)* | Organisation Chart **(Appendix 2)** |
| Key Positions and Members (**Appendix 2.1**) |
| 1. **Collaboration** *(p.xx, xx-xx)* | Summary of Collaboration (**Appendix 3**) |
| 1. **Research Programmes** (RPs)*(p. xx, xx-xx)* | |  |  | | --- | --- | | **Name of RP** | **No. of Projects** | |  |  | |  |  |   Total of X number of RPs and X number of projects  Summary of Research Programmes (**Appendix 4**)  Key Milestones of Each Research Project of RP and Technology Transfer / Commercialisation (**Appendix 4.1**) |
| 1. **Faculty & Resources Commitment** *(p.xx, xx-xx)* | Planned Presence of Senior Management and Key Research Personnel (**Appendix 4.2**) |
| 1. **Venue Requirement** | Office (XX,XXX sq ft / sq m)  Wet lab (XX,XXX sq ft / sq m)  Dry lab (XX,XXX sq ft / sq m)  Special requirements: (e.g. floor height, floor loading, electricity requirement) |
| 1. **Proposed Indicative Budget** *(p.xx, xx-xx)* | Proposed Budget (**Appendix 5**) |
| 1. **Key Performance Indicators** (KPIs) **over the Proposed Operating Period** *(p.xx, xx-xx)* | Key Performance Indicators (KPIs) (**Appendix 6**) |
| 1. **Headcount of R&D Personnel of the Research Centre / Laboratory** *(p.xx, xx-xx)* | There will be a total of XX number of staff working for the research centre / laboratory, including X number of staff from overseas and X number of staff from Mainland.  Headcount and Talent Development of the Research Centre / Laboratory (**Appendix 7**) |

**Table of Appendices**

***Name of Centre*** *(Abbrev)*

|  |  |
| --- | --- |
| **Heading** | **Appendix** |
| 1. Executive Summary *(p.xx, xx-xx of the Proposal)* | 1 |
| 1. Organisation Chart  *(p.xx, xx-xx)* | 2 |
| 1. Key Positions and Members *(p.xx, xx-xx)* | 2.1 |
| 1. Summary of Collaboration*(p.xx, xx-xx)* | 3 |
| 1. Summary of Research Programmes (RPs)  *(p.xx, xx-xx)* | 4 |
| 1. Key Milestones of Each Research Project of RP and Technology Transfer / Commercialisation *(p.xx, xx-xx)* | 4.1 |
| 1. Planned Presence of Senior Management and Key Research Personnel *(p.xx, xx-xx)* | 4.2 |
| 1. Proposed Budget   *(p.xx, xx-xx)* | 5 |
| 1. Key Performance Indicators (KPIs)   *(p.xx, xx-xx)* | 6 |
| 1. Headcount and Talent Development of the Research Centre / Laboratory *(p.xx, xx-xx)* | 7 |

**Appendix 1**

**Executive Summary**

***Name of Research Centre / Laboratory*** *(Abbrev)*

***[Note to Research Centre / Laboratory:***

* *Please limit this Executive Summary to* ***two pages****.*
* *Please extract the relevant information from the Proposal and summarise as necessary.*
* *The summary should include but not limited to the following:*
  + *Vision and Mission statements of the research centre / laboratory;*
  + *Major final outcomes / applications / products to be considered;*
  + *Technological breakthroughs in addressing major real-world problems, such as improving the shortcomings or overcoming the bottlenecks of major existing products / practices identified by academies / industry stakeholders;*
  + *Elaboration on research conducted being innovative, world-class, of global relevance, application driven, and with high potential to bring significant societal impact as well as address real-world problems;*
  + *Synergy among different programmes/projects for application of the research outcomes in solving key real-life problems;*
  + *Overall strategy of technology transfer and commercialisation; and*
  + *Societal Impact.****]***

**Appendix 2**

**Organisation Chart**

***Name of Research Centre / Laboratory*** *(Abbrev)*

***[Note to Research Centre / Laboratory:*** *Please insert the organisation chart below. Information should include, but not limited to, holding company, if any, board of directors and committees (e.g. executive committee, science committee, audit committee, etc.), research programmes, collaboration ties, business development team and administrative staff should be contained in the chart. Please ensure the chart is of reasonable resolution and legible.****]***

**Appendix 2.1**

**Key Positions and Members  
*Name of Research Centre / Laboratory*** *(Abbrev)*

| **Key Position** | | **Name** | **Members’ Position(s) at Institute / Organisation / Company** |
| --- | --- | --- | --- |
| **(A) Holding Company of the Research Centre / Laboratory, if any:** | | | |
| Role: | | | |
| e.g. Board Chairperson | [Name] | | [Position], [Organisation] |
| e.g. Board Member |  | |  |
| **(B) Board of Directors:** | | | |
| Role: | | | |
| Board Chairperson |  | |  |
| Board Member (Representative from Knowledge Transfer Office) |  | |  |
| Board Member |  | |  |
| Board Member |  | |  |
| Board Member / Head of Research Centre / Laboratory |  | |  |
| **(C) Others (e.g. Executive Committee, Science Committee and Audit Committee):** | | | |
| Role: | | | |
|  |  | |  |

***[Note to Research Centre / Laboratory:***

*The Board of Directors should consist of at least:*

* *one representative of* ***Vice-President level or above*** *from its parent institute;*
* *one representative from* ***knowledge / technology transfer office*** *or equivalent of its parent institute; and*
* *two board members* ***unaffiliated with the research centre / laboratory****.*

*The Board should be led by a Vice-President level or above representative from its parent institute and should not be chaired by the Head.*

*The total number of university representatives and independent board members should exceed that of the research centre’s / laboratory’s representatives.****]***

**Appendix 3**

**Summary of Collaboration**

***Name of Research Centre / Laboratory*** *(Abbrev)*

***[Note to Research Centre / Laboratory:***

1. *Collaboration with local and non-local universities/ research institutions*

* *The research centre / laboratory should elaborate on how it plans to collaborate with local and non-local institution(s), and attract collaboration partners and talents to come to Hong Kong.*
* *Please include the following in this summary:*
* *Describe the plan to collaborate with local and non-local institutions, the specific content of the collaborative research, and the expected goals; and*
* *Explain in detail how the collaborative research will be carried out; and*
* ***Support letters*** *from those local and non-local institutions should be provided.*

1. *Collaboration with industry*

* *Please provide concrete plan on collaboration with the major industry players for each research programme in the Proposal. The plan should include details of the collaboration including, but not limited to, the following -*

1. ***Supporting evidence of industry backing***

*Letter of support, expression of interest or memorandum of understanding, etc.;*

1. ***Industry contribution / sponsorship***

*Amount of monetary and/or in-kind support from the industry such as provision of*

*research funding, research laboratories and other resources provided;*

1. ***Other details of the collaborating industry***

*Company profile which includes –*

1. *nature of businesses*
2. *size of companies (such as number of employees, with breakdown of professional, technical or general staff, if possible)*
3. *market shares in local and non-local markets*
4. *annual revenues*
5. *whether they are listed companies, as well as their listing locations*
6. *any information showing the robustness of the companies*
7. *Inter-research centres / laboratories collaboration*

* *In case of any inter-research centre/laboratory collaborations, please provide details.*

*Please limit this Appendix to* ***three pages****.****]***

**Appendix 4**

**Summary of Research Programmes** (RPs)  
***Name of Research Centre / Laboratory*** *(Abbrev)*

**Summary of Research Programmes**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Title of the RP** | **No. of projects** | **Estimated budget**  (In HK$ Million rounded to two decimal places) | **Funding Priority** (e.g. 1st, 2nd, 3rd, 4th) |
| **RP1** |  |  |  |  |
| **RP2** |  |  |  |  |
| **RP3** |  |  |  |  |
| **RP4** |  |  |  |  |

*[****Note to Research Centre / Laboratory****: Estimated budgets for individual research programme above should tally with Section C of Annex A to the Guidance Notes.]*

***[Note to Research Centre / Laboratory:*** *Please follow the following format for summarising each RP and use a new page for each RP. Please extract from the Proposal and summarise as necessary. The summary for individual RP should not exceed three pages. The research programmes / projects should be coherent, driven by major final outcomes / applications / products and are capable of addressing major real-world problems. For each RP, major final outcomes / applications / products to be considered, technological breakthroughs in addressing major real-world problems, as well as the R&D plan, methodology, targeted technical specifications and comparative analysis should also be included in the summary****]***

**RP 1: [Title of RP]** (X No. of Projects) (HK$XX.XXM; Xth priority)

**Principal Investigator(s):**

* Name (Project Reference) (Role)
* Name (Project Reference) (Role)

1. **Executive Summary** *(one page maximum)*
2. **Major final outcomes / applications / products to be considered, technological breakthroughs in addressing major real-world problems, as well as the R&D plan, methodology, targeted technical specifications and comparative analysis** *(one page maximum)*

***[Note to Research Centre / Laboratory:***

*In the Proposal, please be reminded that there should be a* ***maximum of 4 pages*** *for this section for each project under each RP.*

**(iii) Technology Transfer and Societal Impact** *(one page maximum)*

***[Note to Research Centre / Laboratory:***

*In the Proposal, please be reminded that there should be* ***at least 10 pages*** *for this section for each RP.*

*Technology Transfer Plan*

*Technology transfer refers to the process of transferring (disseminating) technology from the person or organisation that owns or holds it to another person or organisation, in an attempt to transform inventions and scientific outcomes into new products and services that benefit society.*

*Please elaborate on: valuable intellectual properties generated from the Research Centre’s / Laboratory’s research, start‑up companies spun off from the Research Centre’s / Laboratory’s research, licensing agreements signed, industry sponsors and sponsorship / donations secured, research contracts signed, engagement and collaboration beyond academia, industry liaison activities, etc.*

*Please also include any activities already / will be undertaken to:*

*secure private funding;*

*disseminate the R&D deliverables;*

*market the R&D deliverables in the commercial world, e.g. business model, target markets and customers, product roadmap, go-to-market strategy, sales & marketing plan, etc.; and/or*

*realise the application of the R&D deliverables in the public sector, i.e. the adoption of the R&D deliverables by government departments, public bodies, charitable organisations, etc.*

*Societal Impact*

*Please refer to the Guidance Notes of the definition and questions to be addressed on the part for “Societal Impact”.*

*The content mentioned should be in line with the milestones set out in Appendix 4.1. Where applicable, please also detail if there is any secured industrial sponsorship, and how the plan can contribute to KPIs related to industry contribution and sponsorship and Research Centre / Laboratory Income at Appendix 6.****]***

**Appendix 4.1**

**Key Milestones of Each Research Project of  
Research Programme** (RP) **and Technology Transfer / Commercialisation**

***Name of Research Centre / Laboratory*** *(Abbrev)*

***[Note to Research Centre / Laboratory:***

* *Please include the deliverables, with targeted technical specifications in their respective milestones.****]***

**RP 1: [Title of RP]** (X No. of Projects) (HK$XX.XXM; Xth priority)

**Research Milestones for Individual Project under the RP**

| **Project Title** | **Key Milestones on an Annual Basis** | |
| --- | --- | --- |
| Project 1: Project Title | *Year 1* |  |
| *Year 2* |  |
| *Year 3* |  |
| *Year 4* |  |
| *Year 5* |  |
| Project 2: Project Title | *Year 1* |  |
| *Year 2* |  |
| *Year 3* |  |
| *Year 4* |  |
| *Year 5* |  |

**Technology Transfer / Commercialisation Milestones for the RP**

|  |  |  |
| --- | --- | --- |
| Technology Transfer / Commercialisation Milestones | *Year 1* |  |
| *Year 2* |  |
| *Year 3* |  |
| *Year 4* |  |
| *Year 5* |  |

**Appendix 4.2**

**Planned Presence of Senior Management and**

**Key Research Personnel[[1]](#footnote-1)**

***Name of Research Centre / Laboratory*** *(Abbrev)*

***[Note to Research Centre / Laboratory:*** *In the**Proposal, please attach a Curriculum Vitae (CV) for each member of senior management team and Key Research Personnel (maximum 2 pages).*

*The CVs include, but not limited to, the following:*

* *personal particulars*
* *academic/professional qualifications*
* *up to five publications related to the programme/project*
* *intellectual property rights (e.g. patents, copyrights, etc.) owned*
* *records demonstrating that they have excellent network with both institutes and industry and are capable to build up collaboration with institutes and industry*

*The CVs of the members of senior management team should demonstrate that they have excellent knowledge and understanding of global technological and market trends as well as industry experience to help the research centre / laboratory establish a good network of contacts in relevant business and technology circles in Hong Kong, the Mainland and internationally.****]***

|  |  |  |
| --- | --- | --- |
| **Name** | **Rank and Institution** | **Annual Working Days in the Research Centre / Laboratory** |
| Head(s) of Research Centre / Laboratory | | |
|  |  |  |
|  |  |  |
| Senior Management Team | | |
|  |  |  |
|  |  |  |
|  |  |  |
| Local Key Research Personnel (max two project leaders per project) | | |
| Prof XX (RP1) |  |  |
| Prof XX (Project 1.1) |  |  |
|  |  |  |
| Key Research Personnel from Non-Local Collaborator(s) | | |
| Prof XX (Project 1.2) |  |  |
|  |  |  |
|  |  |  |

**Appendix 5**

**Proposed Budget**

***Name of Research Centre / Laboratory*** *(Abbrev)*

Budget for the Entire Operating Period: **HK$XXX.XX M***(In HK$ Million rounded to two decimal places)*

| **Expenditure Item** | **Entire Operating Period** |
| --- | --- |
| **A. Capital & Fitting-out Costs** | **X.XXM**  (XX% of budget) |
| **B. Non-R&D Costs** |  |
| **C. R&D Costs** |  |
| **D. Administrative Overhead** | (capped at 8% of total of A, B and C) |
| **Research Centre’s / Laboratory’s InnoHK budget ceilings**  *(i.e. A+B+C+D)* |  |

***[Note to Research Centre / Laboratory****: The figures above should tally with Annex A to the Guidance Notes.****]***

**Appendix 6**

**Key Performance Indicators (KPIs)**

***Name of Research Centre / Laboratory*** *(Abbrev)*

**Important Note:** The proposed KPIs targets throughout the entire operating period are not expected to be adjusted, except under exceptional circumstances which should be fully justified.

|  |  |
| --- | --- |
| **Targets** | **Entire Operating Period** |
| 1. No. of R&D projects conducted |  |
| 1. No. of PhD students trained |  |
| 1. No. of papers published in scientific journals[[2]](#footnote-2) |  |
| **Patents**   1. No. of patents applied for 2. No. of patents granted 3. Patent utilisation rate (%)[[3]](#footnote-3) 4. No. ofpatented technologies[[4]](#footnote-4) 5. No. of income‑generating patented technologies |  |
| **Licensing**  (5) No. of licensing agreements signed |  |
| **Industry Contribution and Sponsorship**   1. No. of industry contributors and sponsors 2. Cash Equivalent Value if any contribution or sponsorship are in-kind (HK$) 3. No. of projects with industry participation[[5]](#footnote-5) |  |
|  |  |

|  |  |
| --- | --- |
| **Targets** | **Entire Operating Period** |
| **Centre Income (HK$)**  (7) Amount of Research Centre / Laboratory Income (HK$)[[6]](#footnote-6) |  |
| **Start-ups**   1. No. of start-ups spun off from the laboratory’s work |  |
| 1. Private investmentsecured by start-ups (HK$) |  |
| 1. Revenue generated by start-ups (HK$) |  |
| 1. Valuation of thestart-up(s) (HK$) |  |
| 1. Job positions filledin the start-up(s) in Hong Kong |  |

**Appendix 7**

**Headcount and Talent Development**

**of the Research Centre / Laboratory**

***Name of Research Centre / Laboratory*** *(Abbrev)*

**Research Centre’s / Laboratory’s Optimal Estimated Headcount[[7]](#footnote-7)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **R&D Personnel** | **Local[[8]](#footnote-8)**  **(No.)**  (A) | **Non-local Personnel**  **(No.)**  (B) | | **Sub-total**  **(No.)**  (A+B) |
| **Mainland** | **Overseas** |
| **1. Professors** |  |  |  |  |
| **2. All Other Research Staff** |  |  |  |  |
| **3. Trainees / Interns** (including PhD students) |  |  |  |  |
| **Sub-total**  **(No.)** |  |  |  | **Total:**  **\_\_\_\_\_\_\_\_\_\_ No.** |

* For the total of XX No. of R&D personnel above-mentioned, XX No. are full-time, while XX No. are part‑time staff.
* Apart from the R&D personnel, there are a total of XX No. of Non-R&D staff.

**Talent Development**

|  |  |  |  |
| --- | --- | --- | --- |
| **Talent** | **Local**  **(No.)** | **Non-local**  **(No.)** | **Sub-total**  **(No.)** |
| **1. Post-doctoral fellow** |  |  |  |
| **2. PhD Students** |  |  |  |
| **3. Interns** |  |  |  |
| **Sub-total (No.)** |  |  | **Total:**  **\_\_\_\_\_\_\_\_\_\_ No.** |

***[Note to Research Centre / Laboratory:*** *In the**Proposal, please elaborate in detail how the research centre / laboratory will commit in nurturing local research talent, and how it plans to attract talents to come to Hong Kong.****]***

1. Key Research Personnel refers to Research Programme Leader(s) / Project Leader(s) [↑](#footnote-ref-1)
2. The estimates can also include papers published in top-tier conferences. [↑](#footnote-ref-2)
3. Patent Utilisation Rate is defined as total no. of patents that have been licensed-out or contributed to R&D project as background IP, divided by total no. of patent applied for/granted that are in force, excluding those “Withdrawn”, “Abandoned”, “Rejected” and “Expired”. [↑](#footnote-ref-3)
4. The same technology with more than one patent (e.g. in different countries) should be counted as one only. [↑](#footnote-ref-4)
5. Industry participation is defined as cash or in-kind contribution (e.g. data, testing ground, equipment), research collaboration and manpower input to InnoHK projects. [↑](#footnote-ref-5)
6. Centre Income includes monetary income from licensing, industry contributions, sponsorships, donations and net income from third party project etc., excluding funding from other Government funding schemes. [↑](#footnote-ref-6)
7. Headcount refers to personnel being engaged in InnoHK projects of the Research Centre / Laboratories in the broadest sense, i.e. including but not limited to those not on the payroll, work part-time, being students and interns, engaged under Research Talent Hub (RTH) Scheme, deployed/ seconded from parent institutes, and not physically present in HK (e.g. non-local personnel from overseas collaborators), etc., thus disregard mode of engagement, funding source and work location. Each personnel shall only be counted once. Generally, those staff from parent institutes who provide general support to the Centre should **NOT** be included. [↑](#footnote-ref-7)
8. Local personnel refers to personnel who are permanent residents of Hong Kong. [↑](#footnote-ref-8)