

**Innovation and Technology Commission**

**Application Form**

**For Designation As**

**Designated Local Research Institution**

**(Version: 4.2)**

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| **Name of Applicant:** |  |

**General Information**

A local institution (Applicant) which applies for designation as a designated local research institution (DLRI) shall complete this application form and return it, together with the relevant supporting documents, to the DLRI Secretariat of the Innovation and Technology Commission (ITC). Additional pages may be attached to this form if there is insufficient space.

An application should be submitted by one of the following ways:

**By Online Form**

The applicant may complete and submit the online application form and upload all the required supporting documents through “[GovHK](https://eform.cefs.gov.hk/form/itc003/en/)”.

**By Email**

The applicant may submit the electronic copies of the duly completed and signed application form (including Annex A to G of the application form) and all the required supporting documents as listed in the checklist of the application form by email ([DLRI-enquiry@itc.gov.hk](mailto:DLRI-enquiry@itc.gov.hk)) to DLRI Secretariat. The email shall be titled “Application for DLRI (Electronic Submission)”.

**By Post or In Person**

The applicant may submit the duly completed and signed application form (including Annex A to G of the application form) and all the required supporting documents as listed in the checklist of the application form (either in hard copies or electronic copies stored in electronic device) by post or in person to DLRI Secretariat at the following address -

DLRI Secretariat

Innovation and Technology Commission

33/F., Shui On Centre

6-8 Harbour Road

Wan Chai, Hong Kong

**Handling of Information**

Subject to the provisions below, information provided by an applicant in its application (application information) will be kept in confidence and personal data involved will be handled in accordance with the relevant provisions of the Personal Data (Privacy) Ordinance (Cap. 486). In this regard, whenever it considers appropriate, the Government shall have the right to disclose application information, without further seeking the applicant’s agreement, to other Government bureau / departments, statutory bodies or third parties for the purposes of processing the applications, monitoring the designation, informing the public of DLRIs’ information, conducting research and survey, compiling statistics and meeting lawful requirements. By submitting an application, an applicant irrevocably and unconditionally authorises and gives consent to the Government to make any of the aforesaid disclosure.

By submitting an application, an applicant is regarded to have obtained from other relevant parties’ consent for the disclosure of their information in its application, the use and further disclosure of the information (including personal data) by the Government for the purposes set out above.

**Access to Personal Data**

The persons concerned have the rights to obtain a printed copy of their personal data held by ITC in relation to the application and request correction of the personal data. Please contact the DLRI Secretariat for access to and correction of the personal data.

**Submission of Application:**

1. A duly completed and signed Application Form (including Annex A to G of the application form); and
2. All the required supporting documents as shown in the following checklist

**List of Documents to be submitted**

**(Please tick the boxes below as appropriate)**

**Checklist for submission of application:**

**□** Documentary proof of the authorisation of the authorised representative

**□** Business Registration Certificate and Certificate of Incorporation or similar documents

**□** CVs of Team Leader(s)/Researchers of the Research Team

**□** Organisation chart of the Research Team

**□** List of major R&D activities and details of activities

**□** Supporting documents for the major R&D activities

**□** Supporting documents related to the R&D facilities and equipment

**□** Floor plan(s) showing the R&D facilities and equipment

**□** Organisation chart(s) showing the company structure

**□** Flowchart(s) related to the workflows of undertaking and monitoring R&D projects

**□** Supporting documents for arrangements to cover liabilities that may arise from R&D activities

**□** Other documents, if any (please specify):

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1. **General Information**
   1. **Basic Information of the Applicant**

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| Name of the applicant (English): |  |
| Name of the applicant (Chinese): |  |
| Places of incorporation: |  |
| Certificate of Incorporation No.: |  |
| Business Registration No.: |  |
| The ordinance under which the institution is established (For statutory corporations established under ordinances other than the Companies Ordinance): |  |
| Principal science and technology field(s) and the area(s) of the field(s) to be applied for designation:  **[Please see Annex A and fill in - the Field Code(s) & Field Name(s) and the Area Name(s) of the Respective Field(s)]** | Field Code & Field Name:  Area(s) of the Field for designation:  Example:  Field Code & Field Name:  2.1 Civil engineering  Area(s) of the Field for designation:  Construction engineering |

* 1. **Authorised Representative[[1]](#footnote-1)**

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| --- | --- |
| Name (Mr / Ms / Miss\*): |  |
| Position / Post Title: |  |
| Contact Telephone Number: |  |
| Contact Email Address: |  |
| Correspondence Address: |  |

\*Please delete where appropriate.

1. **BACKGROUND**

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| Applicant should provide the following information in ***Annex B***, including:   * Brief introduction of the applicant’s history and businesses * Controversial R&D activities, e.g. weapon development, tobacco industry, human cloning, etc., if any * If the applicant is a subsidiary of an organisation, please describe the relationship with the organisation.   [Supporting documents to be provided in this section (if applicable)]:   * Business Registration Certificate and Certificate of Incorporation or similar documents |

**3. CRITERIA FOR DESIGNATION**

**3.1 Manpower Requirement**

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| * *Please provide a list of the personnel of the Research Team with their respective CVs showing their academic and professional qualifications, research experience and main research areas, scientific publications, patents, research project management experience, etc.*   *Points to Note:*   * *As a minimum, the Research Team shall have at least one full time Research Team Leader and four full time Researchers stationed in Hong Kong.* * *For the Research Team Leader, the applicant shall provide the information on the completed research project(s) in which he/she was the principal investigator (including the scale, scope, nature and duration of the project as well as the completed report) for assessment.*   [Other supporting documents to be provided in this section]:   * CVs (with CV template provided in ***Annex C***) of Team Leader(s) and Researcher(s) which should include (1) academic and professional qualifications; (2) research experience; (3) detailed track records including publications of research results; (4) intellectual property rights (e.g. patents, copyrights, etc.) relevant to each of the area(s) of the principal science and technology field(s) that the applicant is applying. * Organisation chart of the Research Team. |

**3.2 Experience of the Applicant in Providing R&D Activities**

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| *(To be completed by the applicant in* ***Annex D****)*   * *Please provide a list (with template provided) of major R&D activities undertaken in the recent three years. In compiling the list, please also provide information on sub-contracting (if applicable), e.g. the contract / sub-contract value of the projects, portion of sub-contracting, reasons for sub-contracting.* * *Please provide for each R&D activity (with template provided) with the following:*    1. *The commencement date and completion date*   2. *A description of the activity including how it relates to the specific area(s) of the principal science and technology field(s) for which designation is applied* * *Details of research activity records and achievements shall be provided, e.g. new processes / products / technologies developed, publications of research findings, accreditation by industry organisations or renowned scientific and technological associations and registration of patents in Hong Kong or outside Hong Kong.* * *Please provide the monitoring procedure for the sub-contracting work.*   [Other supporting documents to be provided in this section]:   * The list of major R&D activities undertaken in the recent 3 years. Please use the templates to provide the information. * The supporting documents for the major R&D activities if available. |

**3.3 R&D Facilities and Equipment**

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| *(To be completed by the applicant in* ***Annex E****)*   * *Please provide information on those R&D facilities / equipment which significantly affect the results of R&D activities together with relevant details, e.g. manufacturer, model details, functions / specifications, location and ownership.* * *Please indicate whether the R&D facilities / equipment are self-owned / rented / accessible / shared with others.*   [Other supporting documents to be provided in this section]:   * Supporting documents related to the R&D facilities and equipment listed in **Annex E**. * Floor plan(s) showing R&D facilities and equipment. |

**3.4 Governance and Management Structure**

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| *(To be completed by the applicant in* ***Annex F****)*   * *Please list the key management personnel with description of their roles and responsibilities to support the R&D business in the company.* * *Please list the history of legal disputes arising from provision of R&D activities, if any.* * *Please provide the details on the arrangements (e.g. insurance or reserves) to cover liabilities which may arise from its R&D activities.*   [Other supporting documents to be provided in this section]:   * Organisation chart(s) showing the company structure with brief description and explanation. * Flowchart(s) related to the workflow of undertaking and monitoring R&D projects. * Supporting documents of arrangements (e.g. insurance coverage) to cover liabilities that may arise from R&D activities. |

**4. Self-evaluation**

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| *(To be completed by the applicant in* ***Annex G****)*   * *Please provide a summary for the required information in the report so as to facilitate the assessment of your application.* |

**5. DECLARATIONS**

Having read and understood the Application Guidelines, I, on behalf of the applicant: -

1. confirm and declare that all information provided in this form, annexes as well as the accompanying information is true, valid and accurate and reflect the status of affairs as at the date written below.
2. acknowledge that in the event that any of the information is found to be untrue, incomplete or inaccurate or if the applicant is found to have provided false information or falsified documents or have made misrepresentation in connection with the application, without prejudice to other legal rights of ITC, ITC is entitled to decline or withhold the application by the applicant or, if the application has been approved, revoke such approval. Furthermore, ITC may, if it sees fit, report the case to relevant regulatory authorities for investigation. The applicant understands that any omission or misrepresentation of information with a view to obtaining pecuniary advantage by deception may constitute an offence.
3. acknowledge and agree that ITC will disclose the information in Section 1 to members of the public once the applicant is designated as a DLRI.
4. confirm and declare that the applicant has obtained consent from all relevant persons / entities including customers of the applicant for the disclosure, use and further disclosure by the Government of relevant information for the purposes of application processing and assessment.
5. confirm and declare that applicant’s operation complies with all legislation (including the Law of the People’s Republic of China on Safeguarding National Security in the Hong Kong Special Administrative Region), regulations and by-laws of the Hong Kong Special Administrative Region.
6. confirm that the applicant undertakes all R&D activities in accordance with the ethical and safety practices in relevant science and technology field(s).

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| Signed by authorised representative of the applicant : |  |
| Name of Applicant: |  |
| Name (Mr / Ms / Miss\*): |  |
| Position / Post Title: |  |
| Date: |  |

\*Please delete where appropriate

**Fields of Science and Technology**

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| **Branch of Science and Technology** | **Field Code / Field Name** |
| **1. Natural Sciences** | * 1. Mathematics   2. Computer and information sciences   3. Physical sciences   4. Chemical sciences   5. Earth and related environmental sciences   6. Biological sciences   7. Other natural sciences |
| **2. Engineering and Technology** | * 1. Civil engineering   2. Electrical engineering, electronic engineering, information engineering   3. Mechanical engineering   4. Chemical engineering   5. Materials engineering   6. Medical engineering   7. Environmental engineering   8. Environmental biotechnology   9. Industrial Biotechnology   10. Nano-technology   11. Other engineering and technologies |
| **3. Medical and Health Sciences** | * 1. Basic medicine   2. Clinical medicine   3. Health sciences   4. Health biotechnology   5. Other medical sciences |
| **4. Agricultural Sciences** | * 1. Agriculture, forestry and fisheries   2. Animal and dairy science   3. Veterinary science   4. Agricultural biotechnology   5. Other agricultural sciences |
| **5. Miscellaneous** | Field name and details to be specified by Applicant |

**Explanatory notes**

(Areas of the respective Science and Technology Fields)

1. **Natural sciences**

### Mathematics

* + - Pure mathematics, Applied mathematics; Statistics and probability[[2]](#footnote-2);

### Computer and information sciences

* + - Computer sciences, information science and bioinformatics *(hardware development to be 2.2)*;

### Physical sciences

* + - Atomic, molecular and chemical physics (physics of atoms and molecules including collision, interaction with radiation; magnetic resonances; Moessbauer effect); Condensed matter physics (including formerly solid state physics, superconductivity); Particles and fields physics; Nuclear physics; Fluids and plasma physics (including surface physics); Optics (including laser optics and quantum optics), Acoustics; Astronomy (including astrophysics, space science);

### Chemical sciences

* + - Organic chemistry; Inorganic and nuclear chemistry; Physical chemistry, Polymer science*,* Electrochemistry (dry cells, batteries, fuel cells, corrosion metals, electrolysis); Colloid chemistry; Analytical chemistry;

### Earth and related Environmental sciences

* + - Geosciences, multidisciplinary; Mineralogy; Palaeontology; Geochemistry and geophysics; Physical geography; Geology; Volcanology; Environmental sciences;
    - Meteorology and atmospheric sciences; climatic research;
    - Oceanography, Hydrology, Water resources;

### Biological sciences (Medical to be 3, and Agricultural to be 4)

* + - Cell biology, Microbiology; Virology; Biochemistry and molecular biology; Biochemical research methods; Mycology; Biophysics;
    - Genetics and heredity *(medical genetics to be 3)*; reproductive biology *(medical aspects to be 3)*; developmental biology;
    - Plant sciences, botany;
    - Zoology, Ornithology, Entomology, Behavioural sciences biology;
    - Marine biology, freshwater biology, limnology; Ecology; Biodiversity conservation;
    - Biology (theoretical, mathematical, thermal, cryobiology, biological rhythm), Evolutionary biology; other biological topics;

### Other natural sciences

1. **Engineering and technology**
   1. ***Civil engineering***
      * Civil engineering; Architecture engineering; Construction engineering, Municipal and structural engineering; Transport engineering;

### Electrical engineering, Electronic engineering, Information engineering

* + - Electrical and electronic engineering; Robotics and automatic control; Automation and control systems; Communication engineering and systems; telecommunications; Computer hardware and architecture;

### Mechanical engineering

* + - Mechanical engineering; Applied mechanics; Thermodynamics;
    - Aerospace engineering;
    - Nuclear related engineering; *(nuclear physics to be 1.3)*;
    - Audio engineering, reliability analysis;

### Chemical engineering

* + - Chemical engineering (plants, products); Chemical process engineering;

### Materials engineering

* + - Materials engineering; Ceramics; Coating and films; Composites (including laminates, reinforced plastics, cermets, combined natural and synthetic fibre fabrics; filled composites); Paper and wood; textiles; including synthetic dyes, colours, fibres; *(nanoscale materials to be 2.10; biomaterials to be 2.9);*

### Medical engineering

* + - Medical engineering; Medical laboratory technology (including laboratory samples analysis; diagnostic technologies); *(Biomaterials to be 2.9 [physical characteristics of 1iving material αs related to medical implants, devices, sensors])*;

### Environmental engineering

* + - Environmental and geological engineering, geotechnics; Petroleum engineering, (fuel, oils), Energy and fuels; Remote sensing; Mining and mineral processing; Marine engineering, sea vessels; Ocean engineering;

### Environmental biotechnology

* + - Environmental biotechnology; Bioremediation, diagnostic biotechnologies (DNA chips and biosensing devices) in environmental management; environmental biotechnology related ethics;

### 1ndustrial biotechnology

* + - Industrial biotechnology; Bioprocessing technologies (industrial processes relying on biological agents to drive the process) biocatalysis, fermentation; bioproducts (products that are manufactured using biological material as feedstock) biomaterials, bioplastics, biofuels, bio-derived bulk and fine chemicals, bio-derived novel materials;

### Nano-technology

* + - Nano-materials [production and properties];
    - Nano-processes [applications on nano-scale]; (*biomaterials to be 2.9*);

### Other engineering and technologies

* + - Food and beverages;
    - Other engineering and technologies;

# Medical and Health sciences

### Basic medicine

* + - Anatomy and morphology *(plant science to be 1.6)*; Human genetics; Immunology; Neurosciences (including psychophysiology); Pharmacology and pharmacy; Medicinal chemistry; Toxicology; Physiology (including cytology); Pathology;

### Clinical medicine

* + - Andrology; Obstetrics and gynaecology; Paediatrics; Cardiac and Cardiovascular systems; Peripheral vascular disease; Hematology; Respiratory systems; Critical care medicine and Emergency medicine; Anaesthesiology; Orthopaedics; Surgery; Radiology, nuclear medicine and medical imaging; Transplantation; Dentistry, oral surgery and medicine; Dermatology and venereal diseases; Allergy; Rheumatology; Endocrinology and metabolism (including diabetes, hormones); Gastroenterology and hepatology; Urology and nephrology; Oncology; Ophthalmology; Otorhinolaryngology; Psychiatry; Clinical neurology; Geriatrics and gerontology; General and internal medicine; other clinical medicine subjects; Integrative and complementary medicine (alternative practice systems); Chinese medicine;

### Health sciences

* + - Health care sciences and services (including hospital administration, health care financing); Health policy and services;
    - Nursing; Nutrition, Dietetics;
    - Public and environmental health; Tropical medicine; Parasitology; Infectious diseases; epidemiology;
    - Occupational health; Sport and fitness sciences;
    - Social biomedical sciences (includes family planning, sexual health, psycho-oncology, political and social effects of biomedical research); Medical ethics; Substance abuse;

### Health biotechnology

* + - Health-related biotechnology; Technologies involving the manipulation of cells, tissues, organs or the whole organism (assisted reproduction); Technologies involving identifying the functioning of DNA, proteins and enzymes and how they influence the onset of disease and maintenance of well-being (gene-based diagnostics and therapeutic interventions (pharmacogenomics, gene-based therapeutics); Biomaterials (as related to medical implants, devices, sensors); Medical biotechnology related ethics;

### Other medical sciences

* + - Forensic science;
    - Other medical sciences;

# Agricultural sciences

### Agriculture, Forestry and Fisheries

* + - Agriculture; Forestry; Fishery; Soil science; Horticulture, viticulture; Agronomy, plant breeding and plant protection; *(Agricultural biotechnology to be 4.4)*

### Animal and Dairy science

* + - Animal and dairy science; *(Animal biotechnology to be 4.4)*
    - Husbandry; Pets;

### Veterinary science

### Agricultural biotechnology

* + - Agricultural biotechnology and food biotechnology; GM technology (crops and livestock), livestock cloning, marker assisted selection, diagnostics (DNA chips and biosensing devices for the early / accurate detection of diseases) biomass feedstock production technologies, biopharming; agricultural biotechnology related ethics;

### Other agricultural sciences

# Miscellaneous

* + - Field name and details to be specified by Applicant.

**Annex B**

**Background**

**Brief introduction of the applicant’s history and businesses**

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**Controversial R&D activities, e.g. weapon development, tobacco industry, human cloning etc., if any**

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**If the applicant is a subsidiary of an organisation, please describe the relationship with the organisation**

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**Annex C**

**Manpower Requirement**

**CV Template:**



**Annex D**

**Experience of the Applicant in Providing R&D Activities**

**Please use below templates to provide the list of major R&D activities undertaken in the recent three years and sub-contracting information related to these R&D activities.**



**Details of research activity records and achievements, e.g. new processes / products / technologies developed, publications of research findings, accreditation by industry organisations / renowned scientific / technological associations and registration of patents in or outside Hong Kong**

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**Please provide information on monitoring procedures for the sub-contracting work**

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**R&D Facilities and Equipment**

**R&D facilities and equipment which significantly affect the results of R&D activities [Please use separate sheet for each facility / equipment]**

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| **Area(s) of the Science and Technology Field(s)** |  |
| **General description of the facilities / equipment**  **(e.g. manufacturer, model details)** |  |
| **Functions / specifications** |  |
| **Usage frequency** |  |
| **Key performance specifications** |  |
| **Precision level** |  |
| **Location** |  |
| **Self-owned / Rented / Right of Access / Shared Use** |  |

**Governance and Management Structure**

**List of key management personnel to support the R&D activities**

| **Name** | **Position / Post title (Service Period)** | **Academic qualifications and experience** | **Roles and responsibilities** |
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**Details on history of legal disputes arising from R&D activities, if any**

| **Date of the incident** | **Full detail of the incident** | **Remedial actions taken** |
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**Please provide the details on the arrangements (e.g. insurance coverage) to cover liabilities that may arise from its R&D activities**

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**Self-evaluation**

**Template:**

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**Sample:**

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1. The authorised representative shall be a key member of the management team authorised by the institution to represent it in communicating with ITC for all matters concerning its application and designation. Documentary proof of the authorisation shall be provided. [↑](#footnote-ref-1)
2. This includes research on statistical methodologies, but excludes research on applied statistics which should be classified under the relevant field of application (e.g.Economics, Sociology, etc.) [↑](#footnote-ref-2)