Approved Grant Application Forms or Funding Agency Copy of any Approval Documents

Dear Editors:

We are very grateful for the careful and thorough review given to our manuscript entitled "Proteoglycans and their functions in esophageal squamous cell carcinoma" (Manuscript NO. 63860). The subject was supported by Research Grants Council of the Hong Kong SAR, China (GRF Project Nos. 17111016 and 17100819). The funding statements are shown below.

THE UNIVERSITY OF HONG KONG

香 港 大 學

September 19, 2016

Dr. A. Cheung
School of Biomedical Sciences

Dear Dr. Cheung,

RGC GRF and ECS 2016/2017 - Letter of Award (17111016)

Further to our e-mail of June 30, 2016 announcing the results for the General Research Fund (GRF) and Early Career Scheme (ECS) 2016/2017, I am pleased to provide further information on the award including the monitoring guidelines, procedures for project acceptance and details on the project accounts.

Monitoring Guidelines

2.   PIs should observe the "*Disbursement, Accounting and Monitoring Arrangements for Funding Schemes Administered by the RGC*" (DAMA) which is available for download from the Research Grants Council (RGC) website at http://www.ugc.edu.hk/eng/rgc/dama/dama.htm. PIs are required to comply with the terms laid down in the DAMA, explanatory notes and any other prevailing accounting and monitoring guidelines as issued by the RGC from time to time, and may wish to note in particular that:

(a) all major changes to the approved projects (e.g. project extension, change of team member, addition of new budget item not covered by the approved budget, etc.) require the RGC's prior approval and requests for such changes have to be submitted well in advance via the RGC's Electronic System (ES);

(b) acknowledgement of the RGC funding following the specified format should be included in any equipment/facilities purchased and any publication/publicity arising from the work done on the project; and

(c) on-site inspection will be conducted on completed projects selected by random sampling and PIs of the selected projects will be informed of further details in due course.

Instalment Amount of Project Grant and Internal Arrangements for Unsatisfactory Projects

3.   Research grants of projects with duration of 13 months or above are disbursed by the RGC in two instalments (60% and 40%). **While the first instalment is released in the year of approval, the second instalment is subject to the submission of progress report with satisfactory assessment or no major irregularities identified.** The amount of the two instalments for your project are set out in Annex I.

4.   In consideration of the practical difficulties that PIs may encounter on funding commitment such as staff appointments, the Finance and Enterprises Office (FEO) has decided to continue the existing practice of setting a full budget line at project commencement, i.e. 100% of project grants instead of 60%, allowing pre-commitment of expenses exceeding the 60% cap of the project grant. In case the second instalment is withheld by the RGC due to non-submission of reports or unsatisfactory project progress, the FEO will handle the project accounts on a case by case basis, and deal with the Faculties/Departments concerned to settle outstanding account balance with alternative funding. If there is any query regarding the above arrangement or other financial issue, please contact the FEO direct.

Reporting Requirements

5.   PIs are required to submit a mid-term progress report (for 36-month projects) or annual progress reports (for non 36-month projects) in accordance with the **reporting schedule based on the project start date**. A completion report should be submitted not later than 12 months after the approved completion date. PIs are advised to observe the reporting schedule and arrange for timely submission of the reports. For cases concerning non-submission and overdue submission of completion or progress reports, the PIs may be debarred from applying for UGC/RGC grants for 2 years.

Funding for RGC Non-allowable Expenses

6.   In addition to the RGC grant, the University Research Committee has decided to continue with the funding provision of $10,000 to each of the GRF and ECS projects funded in this exercise for supporting project expenses not allowed by the RGC, such as photocopying, postage, stationery, reference books, computers, etc. Please be reminded that the funding should not be used to cover entertainment expenses; and personal electronic devices such as mobile phones and digital cameras are not supported, unless they are specialized and essential items required for the research project.

New Research Data and Records Management Policy

7.   As you may be aware, the University's *Policy on the Management of Research Data and Records* (http://www.rss.hku.hk/integrity/research-data-records-management) was approved by the Senate at its meeting on May 5, 2015, along with the establishment of a Task Force on Management of Research Data and Records to oversee the planning of the implementation of the Policy. According to the Policy, researchers are responsible for, among other things, planning for the on-going custodianship of their research data. HKU has now prepared a platform, through the Libraries, for depositing public and restricted research data through the HKU Scholars Hub. Deposited data will receive a DOI number that can be used in your publications and in those publications of others wishing to uniquely cite your data. The act of depositing data in the HKU Scholars Hub, with a DOI, can satisfy the requirements by funding bodies and journal publishers (if applicable) on data deposit, and ensure long term storage and future replication of research. You are encouraged to make use of this new infrastructure for depositing your research data. The deposit page and user's

guide can be found at: http://lib.hku.hk/researchdata/deposit_page.htm. Training in the use of the data management and deposit tools will be made available later this year. If you have any enquiries or need any assistance, please contact the Libraries (researchdata@hku.hk).

Enquiries

8.   Should you have any queries about the project grant, please contact the following colleagues:

Panel	RS colleagues	Phone	Email
B & H	Ms. Rachel Lau	2859-7085	kayanlau@hku.hk
E & P	Ms. Katie Cheung	2859-1982	ppkatie@hku.hk
M	Miss Kay Ling	2859-1181	lingkay@hku.hk

Yours sincerely,

(Miss) Annie Ngai
Assistant Registrar
Research Services

Encl.

c.c.   Dean of Faculty
        Head of Department   } A summary list of corresponding awards is enclosed
        Director of Finance

THE UNIVERSITY OF HONG KONG

Details of Award

RGC General Researhc Fund 2016/17

Project Number	17111016
Principal Investigator	Dr. A. Cheung
Department	School of Biomedical Sciences
Project Title	Role and mechanism of serglycin in promoting esophageal cancer invasion and metastasis
Approved Duration	36 months
RGC Awarded Amount	HK$1,081,941 └ 1st instalment: HK$649,164.6 (60%) └ 2nd instalment: HK$432,776.4 (40%)
Account Codes	(i) One-line vote items 106160174.007419.22600.**324**.01 (HK$1,081,941) (ii) URC Funding for RGC Non-allowable Expenses 106160174.007419.22600.**312**.01 (HK$10,000)
Report Submission	PI is required to submit a mid-term progress report and a completion report. The reporting schedule will be made available in the Research and Conference Grants Administration System (http://rcgas.hku.hk) via HKU Portal in early 2017.
Resources	(i) RGC DAMA (http://www.ugc.edu.hk/eng/rgc/dama/dama.htm) (ii) RGC Supplementary notes and report forms (http://www.ugc.edu.hk/eng/rgc/form/form.htm)

September 2016

THE UNIVERSITY OF HONG KONG

香 港 大 學

August 30, 2019

Dr. A. Cheung
School of Biomedical Sciences

Dear Dr. Cheung,

RGC GRF and ECS 2019/20 - Letter of Award (17100819)

Further to our e-mail of June 28, 2019 announcing the results for the General Research Fund (GRF) and Early Career Scheme (ECS) 2019/20, I am pleased to provide further information on the award including the monitoring guidelines and details on the project accounts.

Monitoring Guidelines

2.   PIs should observe the *"Disbursement, Accounting and Monitoring Arrangements for Funding Schemes Administered by the RGC"* (DAMA) which is available for download from the Research Grants Council (RGC) website at http://www.ugc.edu.hk/eng/rgc/funded_research/ guidelines/dama.html. PIs are required to comply with the terms laid down in the DAMA, explanatory notes and any other prevailing accounting and monitoring guidelines as issued by the RGC from time to time, and may wish to note in particular that:

(a)   all major changes to the approved projects (e.g. project extension, change of team member, addition of new budget item not covered by the approved budget, etc.) have to be submitted well in advance via the RGC's Electronic System (ES) for prior approval;

(b)   acknowledgement of the RGC funding following the specified format should be included in any equipment/facilities purchased and any publication/publicity arising from the work done on the project; and

(c)   on-site inspection will be conducted on completed projects selected by random sampling and PIs of the selected projects will be informed of further details in due course.

Instalment Amount of Project Grant and Internal Arrangements for Unsatisfactory Projects

3.   Research grants of projects with duration of 13 months or above are disbursed by the RGC in two instalments (60% and 40%). **While the first instalment is released in the year of approval, the second instalment is subject to the submission of progress report with satisfactory assessment or no major irregularities identified.** The amounts of the two instalments for your project are set out in Annex I.

4.   In consideration of the practical difficulties that PIs may encounter on funding commitment such as staff appointments, the FEO has decided to continue the existing practice of setting a full budget line at project commencement, i.e. 100% of project grants instead of 60%, allowing pre-commitment of expenses exceeding the 60% cap of the project grant. In case the second instalment is withheld by the RGC due to non-submission of reports or unsatisfactory project progress, the FEO will handle the project accounts on a case by case basis, and deal with the Faculties/Departments concerned to settle outstanding account balance with alternative funding. If there is any query regarding the above arrangement or other financial issue, please contact the FEO direct.

Reporting Requirements

5.   PIs are required to submit a mid-term progress report and a completion report. The reporting schedule will be made available in the Research and Conference Grants Administration System (RCGAS) at http://rcgas.hku.hk in early 2020. PIs are advised to observe the reporting schedule and arrange for timely submission of the reports. PIs who fail to submit the progress / completion reports within the stipulated timeframe will be debarred from applying for UGC/RGC grants for 2 years.

Funding for RGC Non-allowable Expenses

6.   In addition to the RGC funding, the University Research Committee has decided to continue with the funding provision of $10,000 to each of the GRF and ECS projects funded in this exercise for supporting project expenses not allowed by the RGC, such as photocopying, postage, stationery, reference books, computers, etc. Please note that the funding should not be used to cover entertainment expenses (e.g. catering expenses and meals); and personal electronic devices such as mobile phones and digital cameras are not supported unless they are specialized and essential items required for the research project.

Research Data and Records Management Policy

7.   According to the University's Policy on the Management of Research Data and Records approved by the Senate in 2015, researchers are responsible for proper management of research data before, during and after the research period. PIs are required to submit a Data Management Plan (DMP) input form for endorsement by the Head of Department before project commencement, and deposit research data (if applicable) in the HKU Scholar's Hub at a later stage. Further details are available from the HKU Libraries website at http://lib.hku.hk/researchdata/staff.htm. If you need any assistance, please contact Ms. Antonia Yiu, the Associate Librarian of Information Services (tel: 2859-2212; email: achyiu@hku.hk).

Enquiries

8.   Should you require any further information, please contact the following colleagues:

Panel	RS colleagues	Phone	Email
H	Ms. Rachel Lau	2859-7085	kayanlau@hku.hk
E	Ms. Katie Cheung	2859-1982	ppkatie@hku.hk
M	Miss Kay Ling	2859-1181	lingkay@hku.hk
B & P	Miss Cherry Lau	2859-2275	rocherry@hku.hk

Yours sincerely,

(Miss) Annie Ngai
Head
Research Services

Encl.

c.c.   Dean of Faculty
         Head of Department   } A summary list of corresponding awards is enclosed.
         Director of Finance