RGC Ref No. 16603621

RESEARCH GRANTS COUNCIL
Application for Allocation from
the General Research Fund for 2021/22
Application Form (GRF1)

- **Please read the Explanatory Notes GRF2 (Aug 20) carefully before completing this form.**

- **To safeguard the interests of the researcher and the university, the awardee university bears the primary responsibility for prevention, detection and investigation of research misconduct, including but not limited to misuse of funds, data falsification, plagiarism and double-dipping. The university is strongly encouraged to vet the grant applications using anti-plagiarism software before submitting them to the RGC.**

PART I   SUMMARY OF THE RESEARCH PROPOSAL

[To be completed by the applicant(s)]

1. Particulars of the Project

(a) (i) Name and Academic Affiliation of Principal Investigator (PI):

Name	Post	Unit/ Department/ University
Prof Holz, Carsten A.	Professor	Division of Social Science/The Hong Kong University of Science and Technology

(ii)   Is the PI a new appointee within 2 years of full-time paid appointment to his/her first substantive position as an academic staff in a university at the time of submission of the proposal?

Yes ☐   No ☑

(iii)   Title of Project: Academic Freedom at the Hong Kong University of Science & Technology

(iv)   Nature of Application

New ☑   Re-submission ☐   Continuation ☐

(b) (i)   Primary Field: Hong Kong Studies **& Code** 4424
Secondary Field: Others – relating to Education (Academic Freedom) **& Code** 4399

(ii) A maximum of five keywords to characterise the work of your proposal
       (a maximum of 30 characters for each keyword)
           1) Academic freedom
           2) University governance
           3) National security law
           4) Managerial university

(iii) Project Duration: 36   Months*

      * **for longer term projects, please explain in your research plan in Part II 2(b)(i) why**
        the proposed research cannot be completed within the normal span of 36 months.

(iv) Total Amount Requested: $ 188,000

(c) Abstract of Research comprehensible to a non-specialist (either a maximum of 400
words in one A4 page of PDF document in standard RGC format or a maximum of 400
words for direct input in the text box):

This project evaluates the degree of academic freedom at the Hong Kong University of
Science & Technology (HKUST) and examines faculty members' views of academic
freedom at HKUST.

To evaluate the degree of academic freedom at HKUST, the concept of academic
freedom is broken down into approximately fifty constituent components, for each of
which a judgment can be reached as to the degree to which this component of academic
freedom is effectuated at HKUST or not. To examine HKUST faculty members' views of
academic freedom at HKUST, a survey is undertaken.

Many of the constituent components of academic freedom refer to institutional
procedures which at Hong Kong's universities tend to not be in the public realm. If
sufficient information were obtainable for Hong Kong University (HKU) and Chinese
University of Hong Kong (CUHK), the study is expanded to these two institution.

The project is primarily a fact-finding mission. It applies standard approaches to
ascertaining academic freedom newly to Hong Kong (in particular, to HKUST). It adapts
and expands on standard surveys on the perception of academic freedom to the case of
HKUST.

The findings can be interpreted in terms of the state of academic freedom in Hong Kong
(at HKUST). They can also be compared to the existing findings in the literature for
Europe. An extension of the project to HKU and CUHK would allow a comparison within
Hong Kong (though I don't expect much variation). The passage of time may bring

significant changes to the degree of academic freedom in Hong Kong and to faculty members' perception of academic freedom, allowing me to document potentially significant changes in academic freedom in Hong Kong and consider the implications.

(d) Special funding template (Applicants can select more than one box)

☐ **Clinical Research Fellowship Scheme (Please also complete an additional form (Enclosure I) and see Enclosure II) (only available for applications under Biology and Medicine Panel)**

☐ **Support for Individual Research (Time-off) (see Enclosure III) (only available for applications under Humanities and Social Sciences Panel and Business Studies Panel)**

☐ **Longer-term Research Grant (see Enclosure IV)**

☐ **Employment of Relief Teacher under Humanities and Social Sciences Panel (see Enclosure V) (only available for applications under Humanities and Social Sciences Panel)**

☐ **Provision of Research Experience for Undergraduate Student (see Enclosure VI)**

☐ **Support for Academic Research related to Public Policy Developments (see Enclosure VII)**

PART II   DETAILS OF THE RESEARCH PROPOSAL
          [To be completed by the applicant(s)]
RESEARCH DETAILS
1.   Project Objectives and Pathways to Impact Statement

(a) Project Objectives (a maximum of 800 words in total for the project objectives)
[Please list the objectives in point form]
1.   Using a detailed definition of academic freedom, examine the degree of academic freedom at HKUST
2.   Conduct a survey of faculty perception of academic freedom at HKUST
Other Information
The first objective is achieved by closely following the procedures adopted by Karran, Beiter, and Appiagyei-Atua (2017) in a study of academic freedom across European countries. (This study itself updates and expands on Karran (2007), with a further examination of the constituent componentss of academic freedom in Karran (2009b).) The authors examine four constituent components of academic freedom: freedom in teaching and research, institutional autonomy, self-governance, and tenure. Each component is further broken down into sub-categories and subsequently into clearly identified, individual criteria with a grand total of approximately 50 criteria.

The second objective is to examine faculty members' perspectives of academic freedom through a survey. This includes identifying faculty members' understanding of academic freedom followed by questions as to how they perceive the extent of and limits to academic freedom at HKUST.

The project is primarily a fact-finding mission of the (objective) degree of academic freedom at HKUST and HKUST faculty members' perceived degree of academic freedom.

Depending on developments in the future, a third aspect would be to cover the occurrence of actual cases of violations of academic freedom in Hong Kong and to examine in what respect academic freedom is being violated (or not). In the past, publicized potential violations of academic freedom have been few.

Many of the constituent components of academic freedom refer to institutional procedures which at Hong Kong's public universities tend to not be in the public realm. If sufficient information were obtainable for HKU and CUHK, the other two local traditional, major universities, the project is extended to these two institutions. My prior expectation is that there likely are few differences between HKUST, HKU, and CUHK, yielding little by way of comparison, and the inclusion of HKU and CUHK would only facilitate generalization of findings to Hong Kong.

The passage of time may also bring changes to the degree of academic freedom in Hong Kong and to faculty members' perception of academic freedom. If such changes turn out to be significant, this project may be able to document the progress of academic freedom

and the perceptions thereof over the course of the project. My fear is that the project comes too late to document changes, at least changes in perceptions. This is where additionally considering local secondary sources (such as media reports) may come into play in order to document changes in academic freedom over time.

The rationale for undertaking the project is the experience of fascism in Germany which taught that totalitarian regimes in taking over (relatively) democratic systems first go after the head figures of democracy, then the media, and ultimately the academe. I fear greatly for the continued existence of HKUST as a "university" (rather than a tertiary level knowledge factory used as tool to maintain and advance the regime's interests). If my fear is justified, then this project documents the decrease in (or loss of) academic freedom in Hong Kong.

I address the possible outcomes / relevance / significance of the research project in the next section, on pathways to impact.

(b) Pathways to Impact Statement (should not exceed two A4 pages)
Attached 1 pages(s) as follows

Pathways to Impact Statement

The project has three potential beneficiaries.

The first set of beneficiaries is the faculty members. The survey requests faculty members to clarify their understanding of academic freedom and to share their views of the extent of academic freedom at HKUST. The project thereby raises faculty members' awareness of academic freedom and how they might, themselves, consciously or unconsciously, censor their research (or their scope of research) and the mechanisms that lead them to do so. The project thereby raises faculty members' level of sensitivity to issues of academic freedom. It informs faculty members about their collective perception of academic freedom at HKUST and about the degree of academic freedom at HKUST as measured using an objective classification system.

The second set of beneficiaries is Hong Kong's administration of higher education, ranging from administrators within the university to government bodies in charge of the education sector. Should academic freedom indeed be of relevance—academic freedom is a "core value" of HKUST—then the findings of this project, should they give cause to concern, are of immediate interest to administrators who are in a position to take action.

The third set of beneficiaries is the international academic community. The project constitutes an analysis of academic freedom at HKUST (and possibly HKU and CUHK) and thereby informs any discussion of academic freedom in Hong Kong. It will provide concise, objective information to shape or re-shape perceptions that currently range from views that academic freedom in Hong Kong is perfectly safe to academic freedom in Hong Kong is dead. These perceptions extend beyond the academe to the media and politicians around the world.

The impact will likely be primarily short-term as the project provides insights into the current situation of academic freedom in Hong Kong. This situation may well continue to evolve over time. This project provides evidence on academic freedom in Hong Kong at this particular point in time and any change occurring in the course of the project implementation.

Beyond resulting in an academic journal article, the project outcome will likely be of general interest, including of interest to the media.

2. Background of Research, Research Plan and Methodology:

(a maximum of seven <u>A4</u> pages in total in standard RGC format for items (a) and (b)(i); a maximum of one <u>A4</u> page for item (b)(ii))

(a) Background of research

(b) (i) Research plan and methodology

Attached 7 pages(s) as follows

(b) (ii) A one-page Gantt Chart showing the research activities

Attached 1 pages(s) as follows

(c) A maximum of two non-text pages of attached diagrams, photos, charts and table etc, if any.

(d) Reference (a maximum of three pages for references is allowed for listing the publications cited in Section 1-2. All full references should be provided, including all authors of each reference.)

(e) Output dissemination plan

Target timing of dissemination (quarter/year)	Type (Journal / Conference / Others)	Name of journal, conference or other dissemination means
4Q / 2023	Journal	Policy Reviews in Higher Education, or Higher Education Policy, or Studies in Higher Education

(a) Background of research

A. Motivation for this project

The project is motivated by HKUST-internal incentives and by my experiences at HKUST.

(1) If I do not apply for a "GRF" (a grant under the General Research Fund), my dean at HKUST will take steps to thwart my research. (a) The School will only provide a most limited amount of research funding for the coming academic year, insufficient for international conference travel, for the purchase of electronics, or for my regular purchase of statistics yearbooks of the People's Republic of China (my expertise is in the quality of official PRC statistics). In contrast, if I apply for a GRF, a 'normal' amount of internal funding will be allocated to me, allowing me to effectively pursue my research. (b) If I do not apply for a GRF (or other outside research grant) within three years, my dean will require me to teach an additional course on top of the usual teaching load. In other words, if one doesn't make money for the HKUST leadership to use at their discretion—my inflation-adjusted salary has slightly fallen over the past eight years—HKUST managers will obstruct one's ability to conduct research.

(2) The choice of this particular research topic is due to a series of experiences with academic freedom at HKUST: The HKUST administration appears to have little understanding of what academic freedom is about. I share four instances:

(i) On 19 August 2020, my department head in an Opinion published in the *South China Morning Post*, wrote

> Hong Kong has more academic freedom than the United States, where I spent most of my academic career. In the US, I learned very quickly that professors should avoid advocating their political views because their authority in a classroom can put pressure on students who disagree with them.
> (https://www.scmp.com/comment/opinion/article/3097823/national-security-law-hong-kongs-academic-freedom-perfectly-safe)

Apparently, my department head subsumes "advocating one's political views" under academic freedom. That is in stark contrast to a standard perception of the meaning of academic freedom as, for example, expressed by Professor Peter Baehr of Lingnan University in an Opinion published in the *Hong Kong Free Press* of 2 June 2020:

> Academic freedom is a norm which states that university professors should be free to teach, research and write on *academic matters* unconstrained by political and other kinds of interference. (https://hongkongfp.com/2020/06/02/hong-kong-must-now-rely-on-its-own-efforts-to-protect-academic-freedom/)

—According to my department head, the title of his Opinion was significantly changed by the *South China Morning Post* without his consent and I do not know if further content, such as the passage of his Opinion that I quote above, has not experienced the same fate.—

(ii) In September 2020, at a School-internal event under "Chatham House Rules" on the Hong Kong "National Security" "Law," a senior administrator in a relevant position of authority stated, among others, (approximately) that "of course" what HKUST's Human

Subjects Review Board approves or disapproves is different after, compared to before, the appearance of the "National Security Law;" that HKUST's legal office is involved in vetting human subjects research proposals; and that the committee faces difficulties due to the lack of precedents under the "National Security Law."

The HKUST website on the "Human Subjects Review Board" (in effect titled "Human Research Ethics Committee") covers *ethics* (https://vprd.ust.hk/Policies-and-Forms/Human-Participants-Research-Panel), not political censorship.

The primary resource listed for evaluating ethical conduct is the Belmont Report (https://www.hhs.gov/ohrp/regulations-and-policy/belmont-report/index.html). The ethical principle of "beneficence" in the Report could possibly be interpreted as relevant for the case of the Hong Kong "National Security" "Law:"

> Persons are treated in an ethical manner not only by respecting their decisions and protecting them from harm, but also by making efforts to secure their well-being. Such treatment falls under the principle of beneficence. ... Two general rules have been formulated as complementary expressions of beneficent actions in this sense: (1) do not harm and (2) maximize possible benefits and minimize possible harms.

In no way does the Report cover political or censorship issues. For the principle of beneficence, for example, the Report states

> In the case of scientific research in general, members of the larger society are obliged to recognize the longer term benefits and risks that may result from the improvement of knowledge and from the development of novel medical, psychotherapeutic, and social procedures.

The senior HKUST administrator's comments turn HKUST's "Human Subjects Review Board" into a censorship committee. I view that as diametrically opposed to HKUST's core value of academic freedom.

(iii) HKUST's president, SHYY Wei, ended his 7 September 2020 email "message to the HKUST community" with the paragraph:

> Ever since our founding days, HKUST's position in teaching, learning, research and academic pursuits has remained the same. These fundamentals are repeatedly validated by our regular conduct as well as through internationally-benchmarked objective measures. We remain steadfast in our support for academic freedom (see, e.g., https://www.freedomforuminstitute.org/about/faq/what-is-academic-freedom/; https://www.britannica.com/topic/academic-freedom; https://www.insidehighered.com/views/2010/12/21/definingacademic-freedom) and scholarly endeavours. If there are any concerns that our values are being put to the test, it is up to us to show, first ourselves, and then the rest of the world, that HKUST, consistent with our established standing, can and will rise to the challenge. We are determined to contribute our utmost efforts to the future of Hong Kong and beyond.

This appears a strange treatment of a topic central to our profession and the institution, referring to it via three website links rather than saying outright what academic freedom means for SHYY Wei or HKUST. The first website is maintained by an institution called The

Freedom Forum—"The Freedom Forum's mission is to foster First Amendment freedoms for all" (https://www.freedomforuminstitute.org/about/)—and presents a very brief summary of academic freedom, referring to the American Association of University Professors in its 1940 Statement of Principles of Academic Freedom and Tenure. (Why does SHYY Wei not link to that document directly?) The second link is to Britannica, which provides a 100-word summary statement on academic freedom. This would seem a valid reference informing a lay person what academic freedom is about (but the audience of SHYY Wei's email is academics). The third link is to a 2010 article in *insidehighered* that lists what academic freedom does and what it doesn't do for the author, Cary Nelson.

SHYY Wei doesn't say how he intends to uphold academic freedom in the face of the "National Security" "Law," a "law" which simply translates as: The regime can do whatever it wants and the only option for the citizen is to shut up and obey (also see Clarke, 2020).

It seems that HKUST's leadership has little understanding of academic freedom. HKUST has no formal recognition of what academic freedom entails. Instead, obscure websites and laypersons' definitions have to be referenced.

(iv) A precursor to these recent events is a 2017 event when four guests invited to a discussion following a film screening on campus were un-invited "because the school [School of Humanities and Social Science] wanted to '[keep] politics out of the campus'." Senior management of the School of Humanities and Social Science made the decision. (For more details, see Holz (2018).) I view that as a direct violation of academic freedom.

In sum, HKUST's administration displays a—for a university—incredible degree of ignorance of what academic freedom means, or, alternatively, considers academic freedom to worthy at best of lip service when circumstances suddenly make it hard to ignore the issue. (This also suggests an astounding degree of ignorance of or disregard for what a *university* is about.)

There are other circumstances at HKUST that border on issues of academic freedom but are not recognized or identified as such by HKUST administrators. For example, as I describe in the first motivation for this grant application above, the HKUST administration penalizes research that does not require external funding and creates significant incentives for the type of research that requires external funding, i.e., HKUST academics are channeled into money-churning types of research. This implies that certain (other) types of research—which do not make money for HKUST leadership's use—are impeded.

B. Literature

There is a very large literature on academic freedom and a more limited literature on academic freedom in Hong Kong.

Many academics have at some point in their career thought about academic freedom. For example, Sinder (1990) provides a twelve-page bibliography of academic journal articles and books written between 1940 and 1990 on the topic of academic freedom (excluding articles in the journal of the American Association of University Professors). These sources cover academic freedom in the context of religious institutions of higher education, internal assaults on academic freedom, First Amendment (and various court decisions and legal issues),

tenure, grading of student work, peer review, academic freedom of the university vs. the professor, responsibility, research funding, expert witnessing. economically necessitated faculty dismissals, university autonomy, artistic freedom, and employment of non-tenured faculty. Karran (2009a) lists another approximately one hundred articles and books on academic freedom, mostly published in the years since Sinder's bibliography. The journal *Higher Education Policy* and the journal *Academe* (also called *AAUP Bulletin*) published by the American Association of University Professors (AAUP) regularly carry articles on academic freedom, as does the annual *AAUP Journal of Academic Freedom* published since 2010. Recent book-length treatises of academic freedom include Bilgrami and Cole (2015), Williams (2016), and Reichman (2019).

The literature on academic freedom proceeds along two lines of analysis: One is to document the changing meaning and importance of academic freedom over time, and the other is to examine the degree or experience of academic freedom in a particular context or in a particular comparison. Karran (2009a) is a good example of the first line of analysis, Altbach (2001) of the second. This project falls into the second category.

A purely descriptive literature documents the real-world experiences of assaults on academic freedom and the defense of academic freedom. For example, Boyer (2002) documents how a series of University of Chicago presidents defended academic freedom starting more than a century ago. If the degree of academic freedom in Hong Kong changes over the course of this project, the Hong Kong experience can be contrasted with such cases documented in the literature.

In ascertaining the degree of academic freedom, a good working definition of academic freedom is needed. Professional organizations and international institutions provide elaborations beyond those provided by individual universities or faculty (such as University of Chicago (2014), Nelson (2010)). Among them are

> UNESCO Recommendation Concerning the Status of Higher-Education Teaching Personnel (12 November 1997, http://portal.unesco.org/en/ev.php-URL_ID=13144&URL_DO=DO_TOPIC&URL_SECTION=201.html, with a discussion and application in Karran (2009c))

> The European University Association's measures of University Autonomy in Europe (https://www.university-autonomy.eu/)

> The Council of Europe's Bologna Process that was slated to pass a "European definition of academic freedom" in 2020 (http://www.ehea.info/) and the Magna Charta Universitatum (http://www.magna-charta.org/magna-charta-universitatum/read-the-magna-charta/the-magna-charta)

> The AAUPO's "1940 Statement of Principles on Academic Freedom and Tenure" (https://www.aaup.org/report/1940-statement-principles-academic-freedom-and-tenure)

Karran, Beiter, and Appiagyei-Atua (2017), providing the framework for achieving the first objective of this project, need to be reviewed in light of these elaborations.

In discussing academic freedom one increasingly cannot avoid the advent of the "managerial university" with its typically negative impact on academic freedom. The concept of the "managerial university" is the subject of an extensive literature (for example, Waugh, 1998, West, 2016, and Bleiklie, Enders, and Lepori, 2017). Academic freedom also enters broader discussions on the functions (or the deteriorating functions) of the university (for example, Readings, 1996). The particular choice of university governance mechanisms inevitably impact on the scope for academic freedom, including in Hong Kong.

Academics' perceptions of academic freedom are rarely surveyed. The British University and College Union commissioned Karran and Mallinson (2017) to, among others, survey academics on their perceptions of academic freedom. Boyer, Altbach, and Whitelaw (1994) conducted a rudimentary survey more than two decades earlier; a more recent, limited survey is by Cole, Cole, and Weiss (in Bilgrami and Cole (2015)).

The issue of academic freedom is covered specifically in the Hong Kong context by, for example, Currie, Petersen, and Mok (2006), Chan and Kerr (2016), Chau (2017), and Carrico (2018). The issue of the managerial university in Hong Kong is covered, among others, by Mok (1999), Postiglione and Jung (2017), and Law (2019). The literature specific to Hong Kong provides relevant context for this project.

I am not proposing new methods, new solutions, or alternative approaches (which, I think, are not relevant dimensions in thinking about academic freedom). I am proposing to apply a standard that has been applied to European countries to Hong Kong. I doubt that I can improve (or improve much) on the framework provided by Karran, Beiter, and Appiagyei-Atua (2017). Once I delve into this project, I will find out. Using a common framework allows comparability of outcomes. Additionally, I wish to conduct a survey that builds on surveys done by others, adapted and extended to the case of Hong Kong.

C. Earlier work by the PI

I am a "China economist" focusing on the quality of PRC statistics, with excursions into state-owned enterprise reform and into economic development and growth issues in the People's Republic of China. This (academic freedom) topic is not in the area of my core expertise. (Except for Terence Karran, I am not aware that anybody has made a career of studying academic freedom.) And yet, as academics, we (almost) all care about it.

After experiencing HKUST administrators ignorance of or disregard for academic freedom— at a time when it has become of utmost relevance—and under HKUST administrators' pressure to make money by applying for a GRF, I am interested, as an academic, in pursuing this project.

I have a history of speaking up on academic matters, including a trail of actions and critiques within HKUST. In the public realm, I have a 2007 publication (Holz, 2007) where I am critical of academics' (conscious or unconscious) self-censorship. In Holz (2008) and Holz (2014) I raise questions about the unprofessional manner in which HKUST is being managed. In Holz (2018), I examine instances of >Gleichschaltung< at HKUST and elaborate on the ease with which Gleichschaltung can be (and has been) implemented at HKUST. In Holz (25 June 2020) I raise questions about the motivation behind HKUST's new Guangzhou campus, the benefits for HKUST, the academic safeguards, and exit strategies; this lengthy critique

touches upon the bigger issues of changing university management practices, self-censorship and academic freedom under a totalitarian regime. In three recent, short pieces (Holz, 3 September 2020, 20 September 2020, and 6 October 2020) I address the issue of academic freedom head-on. My homepage (http://carstenholz.people.ust.hk/) has numerous links to further HKUST-related and Hong Kong university matters (with various additional webpages shared with colleagues at various times but not linked to my homepage, or any other webpage).

(b) Research plan and methodology

My research plan and methodology are straightforward.

(1) Apply Karran, Beiter, and Appiagyei-Atua's (2017) concise breakdown of academic freedom in an analysis of the degree of academic freedom at HKUST.

(2) Develop a survey and conduct it at HKUST.

Ad (1). The breakdown of academic freedom into approximately 50 constituent components, as done by Karran, Beiter, and Appiagyei-Atua (2017), probably leaves little room for further improvement. A close study and comparison of the concise elaborations of academic freedom by professional organizations and international institutions is work that I need to do. The findings may influence the ultimate classification scheme used, though changes to the established approach endanger comparability with the results for the 28 European countries and should therefore not be made lightheartedly. The objective is to ascertain the degree of academic freedom, categorized along this classification system, at HKUST.

Ad (2). Karran and Mallinson's (2017) set of survey questions is a starting point for a survey at HKUST that also takes into consideration local conditions. Their survey is extensive and in parts specific to the UK. Petersen (2020) presents similar work done in Germany. There seems to be little other significant work; I will want to search further. Originally, I appended my selection and adaptation of survey questions from Karran and Mallinson (2017) but was told these do not constitute two pages of a "non-text" appendix and I am therefore omitting these pages from the current application as I am reaching the page limit for text..

(3) Many of the constituent components of academic freedom refer to institutional procedures which at Hong Kong's public universities tend to not be in the public realm. If sufficient information were obtainable for HKU and CUHK, the study is expanded to these two institutions; in that case, email addresses of faculty members at HKU and CUHK can likely be obtained off the web and a survey can then also be conducted at HKU and CUHK. This would make possible a comparison of the degree of academic freedom and of the faculties' perceptions of academic freedom across the three universities. My prior expectation is that there likely are few differences and therefore the extension to HKU and CUHK and a cross-institutional comparison would yield little by way of comparison and only facilitate generalization of findings to Hong Kong,
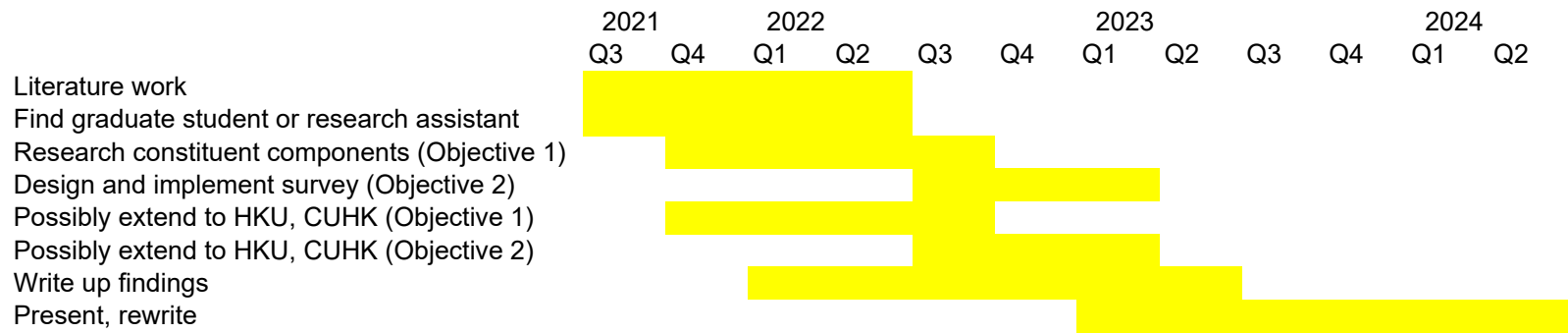
(4) Future events in Hong Kong may add a time dimension to the project. Changes to the degree of academic freedom might occur, or faculty members' perceptions might change. I cannot predict the future. If something changes, it is the objective to capture such changes in this project.

While the project is primarily a fact-finding mission, there is also some scope for evaluation. Evaluation can be cross-institutional (within Hong Kong, or between HKUST or Hong Kong and other countries) and it can be cross-time focusing on changes over time. Another avenue for evaluation is to consider the available scope for academic freedom within a "managerial" university (of which HKUST is probably an extreme example) and how that available scope—I am thinking of the intentional absence of safeguards for academic freedom in a managerial university—allows a totalitarian regime to easily and quickly quash academic freedom.

I am proposing a 3-year time frame for this project because my past experience with GRF grants has been that by the time the grant comes through, 10-12 months after I wrote the proposal, I have long moved on to a different project. Going back to the project proposed a year earlier then becomes cumbersome—I dealt with the project a year earlier and then had to stop and move on to other research because the RGC does not allow applications for projects already underway and because, if the funding request were eventually to be denied, all preparatory work would have been in vain—and the project inevitably drags on longer than desired.

I would like to have a graduate student or research assistant who I could guide in undertaking the project. But that is not so easy in the Social Science Division at HKUST. While we have an informal rule that each faculty member teaches one lower undergraduate course, one upper undergraduate course, and one graduate course, the last time I was assigned a graduate course was in 2013 (and I have asked for a graduate course almost every year since). Another complication is that our research students are on the order of 95% mainland Chinese students, who might not be the most interested nor the most suitable for a project such as this. (It probably hurts their employment opportunities after graduation if they worked on such a topic, or worked with me.)

I am quite careful with my research. Hiring a stranger as a research assistant is not my favorite approach. It is only with a graduate student who I have experienced in my class that I can be somewhat confident that the person I choose to assist in the project is able to conduct research of the quality I desire.

	2021		2022				2023				2024	
	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
Literature work												
Find graduate student or research assistant												
Research constituent components (Objective 1)												
Design and implement survey (Objective 2)												
Possibly extend to HKU, CUHK (Objective 1)												
Possibly extend to HKU, CUHK (Objective 2)												
Write up findings												
Present, rewrite												

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3. Re-submission of a proposal not supported previously

(a)   Is this proposal a re-submission or largely similar to a proposal that has been submitted to but not supported by the UGC/RGC or other funding agencies?

        Yes ☐   No ☑

If yes, please state the funding agency(ies) and the funding programme(s):

Reference No(s). [for UGC/RGC projects only. For non UGC/RGC projects, please input N.A.]:

Project title(s) [if different from Section 1(a) of Part I above]:

Date(month/year) of application:

Outcome:

(b)   If this application is the same as or similar to the one(s) submitted but not supported previously, what were the main concerns / suggestions of the reviewers then?

(c)   Please give a brief response to the points mentioned in Section 3(b) above, highlighting the major changes that have been incorporated in this application.

PROJECT FUNDING

4. Cost and Justification

(a)   **Estimated Cost and Justification:**
   [Detailed justifications should be given in order to support the request for each item below]
   (a maximum of 500 words for each box)

	Year 1 ($)	Year 2 ($)	Year 3 ($)	Year 4 ($)	Year 5 ($)	Total ($)

(A) One-line Vote Items

(i) Supporting Staff Costs

   [please read Section 4(a)(A)(i) of the Explanatory Notes GRF2 carefully]

Types

Monthly salary x Nos. x Months

Research Assistant

						$168,000

28,000 * 1 * 6   168,000

Justification:

Ideally a postgraduate student for a longer period, or otherwise a research assistant for 6 months, primarily to assist in conducting the survey, but also with appraisal of the literature and whatever odd tasks arise. The survey work includes all the technicalities of conducting the survey (ideally, the assistant is familiar with survey software as I am not), from compiling an email database of relevant participants to implementation of the survey and handling of the survey results.

(ii) Equipment Expenses
[please itemize and provide quotations for each item costing over $200,000]

Justification:

RGC Ref No. 16603621

Quotation Provided:　　　Yes ☐　　　　No ☑

(iii) Outsourcing Expenses of Research Work Outside Hong Kong
[please itemize your cost estimation with justification and provide quotations for work costing over $200,000; and provide detailed justification of sample sizes and costs for surveys conducted outside Hong Kong.]

Justification:

Quotation Provided:　　　Yes ☐　　　　No ☑

(iv) General Expenses
[please itemize and provide quotations for services/purchase costing over $200,000; and provide detailed justification of sample sizes and costs for surveys conducted in Hong Kong.]

Justification:

Quotation Provided:　　　Yes ☐　　　　No ☑

(v) Conference Expenses

Conference presentation.	0	0	20,000	0	0	20,000

Justification:

Present work in progress and receive feedback (towards the end of the second year or early in the third year). The conference will likely be on (or involve themes regarding) Hong Kong and China. I am budgeting (only) one conference since physical travel may not resume for some time.

Sub-total for (A) (One-line Vote Items):　　　　　　$　　188,000

RGC Ref No. 16603621

(B) Earmarked Items

(vi) Costs for Employment of Relief Teacher
[see Enclosure III for individual research and Enclosure V for relief support under Humanities and Social Scienecs Panel]

Rank

Per course rate of relief teacher: x No. of course to be relieved

Justification:

Current Average Teaching Load: Total 0 courses per academic year [please report UGC-funded programmes only]

(vii) Expenses of Research Experience for Undergraduate Student
(see Enclosure VI for Provision of Research Experience for Undergraduate Students)

Justification:

(viii) High-performance Computing Services Expenses

Justification:

Quotation Provided: **Yes** ☐   **No** ☑

(ix) Research-related Software Licence /Dataset
[Please itemize and provide quotations for each item]

Justification:

Sub-total for (B) (Earmarked Items): $ 0

(x) Total cost of the project (A) + (B) $ 188,000

(C) Deduction Items

Less :

(xi) University's funding for provision of research experience for undergraduate student $ 0

(xii) Other research funds secured from other sources $ 0

Sub-total for C (Deduction Items): $ 0

(xiii) Amount requested in this application : (A) + (B) - (C) $ 188,000

(D) Academic Research related to Public Policy Developments

(xiv) Percentage of the total cost of the proposal related to public policy developments ((A) + (B))

[see Enclosure VII for Support for Academic Research relating to Public Policy Developments]   0%

(b)   **Declaration on the Equipment Procurement:**

     ☑   **(i) No procurement of equipment is required**

     OR

     ☐   **(ii) I declare that the equipment indicated in 4(a)(A)(ii) above is not available in the university**

     OR

     ☐   **(iii) I declare that all or some of the equipment (please provide details in the following text box) indicated in Section 4(a)(A)(ii) above is available in the university but cannot be used by me in view of the following reasons (a maximum of 500 words)**

Reasons : (a maximum of 500 words)

(c) **Declaration on employment of relief teacher:**

☑ **(i) No relief teacher is required**

OR

☐ **(ii) I declare that I currently do not hold any grant for employment of relief teacher of any on-going project under UGC/RGC funding schemes**

OR

☐ **(iii) I declare that I hold grant for employment of relief teacher of the following on-going project(s) under UGC/RGC funding schemes (excluding Humanities and Social Sciences Prestigious Fellowship Scheme (HSSPFS)) and undertake to submit the corresponding completion report(s) by 15 April 2021**

(d) **Declaration on high-performance computing services:**

☑ **(i) No procurement of high-performance computing services is required**

OR

☐ **(ii) I declare that the high-performance computing services indicated in Section 4(a)(B)(viii) above is not available in the university**

OR

☐ **(iii) I declare that all or some of the high-performance computing services (please provide details in the following text box) indicated in Section 4(a)(B)(viii) above is available in the university but cannot be used by me in view of the following reasons(a maximum of 500 words)**

Reasons : (a maximum of 500 words)

(e) **Declaration on the research-related software licence / dataset:**

☑ **(i) No procurement of research-related software licence / dataset is required**

OR

☐ **(ii) I declare that the research-related software licence / dataset indicated in Section 4(a)(B)(ix) above is not available in the university**

OR

☐ **(iii) I declare that all or some of the research-related software licence / dataset (please provide details in the following text box) indicated in Section 4(a)(B)(ix) above is available in the university but cannot be used by me in view of the following reasons (a maximum of 500 words)**

Reasons : (a maximum of 500 words)

5.   **Existing facilities and major equipment available for this research project:**
      (a maximum of 400 words)

No further facilities/equipment are needed.

6. Funds secured or to be secured

(a) Other research funds already secured for this research proposal:
[This amount will be deducted from the total cost of the project in Section 4 of Part II above.]

Source	Amount ($)

(b) Other research funds to be or are being sought for this research proposal.
[If funds under this item are secured, the amount of the GRF to be awarded may be reduced]:

Source	Amount ($)

7. Particulars of PI and Co-Is

(a) Investigator(s) information:
Name and Academic Affiliation of Applicant:

	Name	Post	Unit/ Department/ University	ORCID iD	Current Member of UGC / RGC / / Panel / Committee as at application deadline (Yes or No)	Name of UGC / RGC / Panel / Committee
PI	Prof Holz, Carsten A.	Professor	Division of Social Science/The Hong Kong University of Science and Technology	0000-0003-1293-5578	No	

(b) Curriculum vitae (CV) of Applicant(s).

[For the PI and each Co-I, please attach a CV (a maximum of two <u>A4 pages</u> in standard RGC format for attaching PDF documents or a maximum of 800 words for direct input in the text box) per person in the following format.]

i) Name:
ii) Academic qualifications:
iii) Previous academic positions held(with dates):
iv) Present academic position:
v) Previous relevant research work:
vi) Publication records [Please refer to GRF 2 Part II Section 7 for the format required by the RGC]:

    Section A - Five most representative publications in recent five years
    Section B - Five representative publications beyond the recent five-year period with the latest publication entered first.
vii) Others (please specify):

(c) Plan(s) for collaboration in this application:
    [Indicate the role and the specific task(s) the PI <u>and</u> each Co-I , if any, is responsible for.]
    [Letter(s) of collaboration should be attached]

N.A.

☐   **I confirm that the Co-I(s) listed in the proposal have explicitly agreed to serve in the project team and a copy of the proposal has been provided to each of the Co-Is. Letter(s) of collaboration from the Co-I(s) is/are attached. I shall provide further documentary proof on the collaboration upon the request of the RGC / Secretariat.**

(d) Number of hours per week to be spent by the PI in the proposal: 10 hour(s)

CV of Prof Holz,Carsten A.

(i) Carsten A. HOLZ

(ii) PhD (Economics), Cornell University

(iii) 2014 – 2015 Visiting Professor, Department of Economics, Harvard University

2012 – 2013 Visiting Professor, Stanford Center for International Development, Stanford University

2010 – 2012 Visiting Professor, Department of Economics, University of Southern California

2010 – today Professor, Social Science Division, Hong Kong University of Science & Technology

2007 – 2008 Visiting Research Scholar, Princeton Institute for International and Regional Studies, and Visiting Associate Professor, Department of Economics and Woodrow Wilson School, Princeton University

2003 – 2004 Visiting Scholar, Asia-Pacific Research Center, Stanford University

2002 – 2010 Associate Professor, Social Science Division, HKUST

1999 – 2000 Visiting Assistant Professor, Department of Economics, Cornell University

1995 – 2002 Assistant Professor, Social Science Division, HKUST

1990 – 1991 Lecturer in economics at the (then) University of East Asia, Macau

(iv) Professor, Social Science Division, Hong Kong University of Science & Technology

(v)
"Understanding PRC Investment Statistics." 12 April 2020. Forthcoming in the China Economic Review. At http://carstenholz.people.ust.hk/

"PRC Industrial Policies Postdate Rather than Lead Economic Activity." 15 November 2019. Chapter in Innovation and China's Global Emergence, East Asia Institute, Singapore; volume under review at NUS Press. At http://carstenholz.people.ust.hk/

"Industrial Policies and the Changing Patterns of Investment in the Chinese Economy." The China Journal 81 (January 2019): 23-57.

"Physical Capital Estimates for China's Provinces, 1952-2015 and Beyond." With SUN Yue. China Economic Review 51 (October 2018): 342-57.

"Wage and Price Dynamics in China." With Aaron Mehrotra. The World Economy 39, no. 8 (Aug. 2016): 1109-27.

"The Quality of China's GDP Statistics." China Economic Review 30 (September 2014): 309-38.

"Understanding Money Demand in the Transition from a Centrally Planned to a Market Economy." With Anne-Laure Delatte and Julien Fouquau. Post-Communist

Economies 26, no. 3 (September 2014): 376-400.

"The Unbalanced Growth Hypothesis Revisited: The Role of State Ownership in China's Economic Growth." Journal of Development Economics 96, no. 2 (November 2011): 220-38.

"No Razor's Edge: Reexamining Alwyn Young's Evidence for Increasing Inter-Provincial Trade Barriers in China." The Review of Economics and Statistics 91, no. 3 (August 2009): 599-616.

DECLARATION OF RELATED PROPOSALS & GRANT RECORD

[Please refer to GRF2 for information required and implications for non-disclosure of related research work]

[If you have difficulty in making the declaration, please explain.] Please add a new table for each project/proposal.

8. Grant Record and Related Research Work of Investigator(s)

(a) PI - Details of research work undertaken and proposals submitted by the PI

(in a PI/PC or Co-I/Co-PI capacity) including:

(i) completed research work funded from all sources (irrespective of whether from UGC/RGC) in the past five years;

(ii) on-going research work funded from all sources (irrespective of whether from UGC/RGC);

(iii) proposals pending funding approval (irrespective of whether submitted to UGC/RGC);

(iv) any related research work that is being / has been conducted in relation to the proposal (irrespective of whether from UGC / RGC and not limited to the past five years), including but not limited to data collection, preliminary research, working papers, publications (such as journal papers, conference papers and books, etc.), presentations, media interviews and other submitted proposals, etc. Please provide the details of the related research work (such as the title of the projects and / or papers / publications, or a brief description of the preliminary research work, etc.) whether or not such work was part of a funded project; and provide clarifications that distinguish that related research work from the work requested to be funded through this proposal. Any researcher who fails to disclose any related research work that is being / has been conducted in relation to the proposal will be subject to disciplinary action.

Completed

| 640413 | Role：PI | 01 Jan 14 – 30 Jun 17 | RGC/UGC Funding |

Funding Source(s) (Amount): GRF($780,000)

Project / Work Title:

The Process of Economic Development in West Sichuan, China

Project / Work Objective:

1. Document and evaluate processes and levels of economic development in West Sichuan
2. Document government economic development policies in West Sichuan and evaluate their effectiveness
3. Document and evaluate the economic and social consequences of economic development in West Sichuan

No. of Hours Per Week Spent by the PI *: 0

Related to the current application: N.A.

* The PI is not required to report on the time spent in the capacity of Co-I in GRF / Joint Research Schemes projects.

(b) Co-I(s) – Details of
    (i)on-going research work funded from all sources (irrespective of whether from UGC/RGC) undertaken by each Co-I (in a PI/PC capacity);
    (ii)proposals pending funding approval (in a PI/PC capacity).
    (iii)any related research work that is being / has been conducted in relation to the proposal (irrespective of whether from UGC / RGC and not limited to the past five years), including but not limited to data collection, preliminary research, working papers, publications (such as journal papers, conference papers and books, etc.), presentations, media interviews and other submitted proposals, etc. Please provide the details of the related research work (such as the title of the projects and / or papers / publications, or a brief description of the preliminary research work, etc.) whether or not such work was part of a funded project; and provide clarifications that distinguish that related research work from the work requested to be funded through this proposal.Any researcher who fails to disclose any related research work that is being / has been conducted in relation to the proposal will be subject to disciplinary action.

ANCILLARY INFORMATION

9. Research Ethics / Safety Approval and Access to Data / Records
[Please refer to GRF2 Part II Section 9 for the responsibilities and implications]

(a) Research Ethics/Safety Approval

(i) I confirm that the research proposal   ☑**involves /**   ☐ **does not involve human subjects.**

(ii) Please tick the appropriate boxes to confirm if approval for the respective ethics and/or safety issues is required and has been / is being obtained from the PI's university. PIs are encouraged to seek necessary approval (except for human research ethics (clinical)) before application deadline as far as possible

	Approval not required	Approval being sought	Approval obtained
(1) Animal research ethics	☑		

	Approval not required	Approval being sought	Approval obtained	Approval will be sought if funded
		☐	☐	
(2) Biological safety	☑	☐	☐	
(3) Ionizing radiation safety	☑	☐	☐	
(4) Non-ionizing radiation safety	☑	☐	☐	
(5) Chemical safety	☑	☐	☐	
(6) Human research ethics (non clinical)	☐	☑	☐	

	Approval not required	Approval being sought	Approval obtained	Approval will be sought if funded
(7) Human research ethics (clinical)	☑	☐	☐	☐

(iii) If approval is required by <u>other</u> authorities, please indicate *below* the names of the authorities and the prospects of obtaining such approval. If not applicable, please put down "N.A.".

N.A.

(b) Access to Government/ Official/ Private Data and Records

(i) Is access to Government / official / private data and records critical to the research project?

☐ Yes

☑ No

If approval is required, please indicate below the names of the agency(ies) of obtaining such approval.

(ii) Please tick in the appropriate boxes to confirm if approval for access to the related data/records has been / is being obtained from the relevant agency(ies). If approval has been obtained, please provide evidence.

List of agency(ies)	Approval not required	Approval being sought	Approval obtained

[Note: PIs are encouraged to seek necessary approval before application deadline as far as possible.]

10.   Data Archive Possibilities

(a) Is the proposed project likely to generate data set(s) of retention value?

Yes ☐   No ☑

If yes, please describe the nature, quantity and potential use of the data set(s) in future.

Nil

(b) Are you willing to make the data set(s) available to others for reference twelve months after the publication of research results or the completion of this proposed project?

Yes ☐   No ☐

I/We understand that the RGC will release the completion report to the public and only considers data archiving requests after the completion of the RGC-funded project. The RGC has full discretion in funding the archiving requests. Data sets archived with RGC funds will require users to acknowledge the originator and the RGC. The originator will also be provided with copies of all publications derived from the use of the data.

I undertake to include in the project completion report the URL links to the university's repository or the publisher's websites so that the public could have quick and easy access to the manuscripts or journal articles. I will also consider to include in the research completion report the data repository where research data of the project could be accessed and shared, where appropriate.

I undertake that upon acceptance of a paper for publication,

(i) I will check whether the publisher already allows (A) full open access to the publisher's version, or (B) my depositing a copy of the paper (either the publisher's version or the final accepted manuscript after peer-review) in the university's repository for open access;

(ii) if both (i) (A) and (B) are not allowed, I will request the publisher to allow me to place either version in my university's repository for restricted access immediately upon publication or after an embargo period of up to twelve months if required by the publisher; and

(iii) subject to the publisher's agreement on (i) or (ii) above, I will deposit a copy of the publication in my university's repository as early as possible but no later than six months after publication or the embargo period, if any.

11.   Education Plan, Technology Transfer Plan, Letters of Collaboration and Supporting Documents

(A maximum of 20 words for each box to caption each uploaded pdf document)

Appendix 1: Education Plan (up to one A4 page)

Letters of Collaboration List:

Education Plan

The project provides an opportunity to gain or to further experience with conducting a large-scale survey, electronically, involving construction of the survey instrument, the technical implementation, and the presentation of the findings.

The project also provides an opportunity to gain experience in guided literature search and in compiling brief literature summaries. It provides significant exposure to the process of conducting academic research with as outcome an academic publication.

The project is expected to broaden the participant's analytical skills, skills in conducting surveys, and communication skills.