

PG1 - FULL RESEARCH PROPOSAL

This form is to be completed by both the student and supervisory team within **THREE** months for full-time students and **SIX** months for part time students, after the commencement of the research degree or following progression to Part Two of your course.

Once complete, submit this form via the ***MyTSD Doctoral College Portal*** at (<https://mytsd.uwtsd.ac.uk>).

This document is also available in Welsh.

Student Details

Student Family / Surname:	CHEN		
Student Given / First name:	Linna		
Student Number	2502823		
Start Date	30.09.2025	End Date	30.09.2029

PhD by Research	PhD Practice Based	PhD by Published Works	Professional Doctorate (including DBA, DProf, Ed D)	MPhil by Research	MPhil Practice Based
☐	☐	☐	☒	☐	☐
MA by Research	MSc by Research	MRes			
☐	☐	☐			

Proposed Research

Current Proposed Title (20 / 30 words):
From One-Off Participation to Appropriate Afterlives: A Practice-Led Study of Artistic, Institutional, Managerial and Spatial Conditions in Chinese Participatory Public Art
Background & Context (approx. 500 words)
This research examines a specific weakness in participatory public art. Projects can create intense and meaningful events yet leave little continuing access, local ownership or institutional responsibility once the event ends. The central research question is: Under what artistic, institutional, managerial and spatial conditions can participatory public art in China move beyond a one-off event and achieve an appropriate afterlife? The question does not assume that continuation is always desirable. It asks how continuation, adaptation, transfer or closure are negotiated, resourced and judged. The project uses four working definitions. Durability does not mean permanence or automatic success. It refers to evidence of an appropriate afterlife, which may include repeated use, continuing access, local ownership, maintained relationships, transferred skills, institutional embedding, recurring resources or responsible closure. Spatial public practice is not simply art placed outdoors. It describes a material, performative, archival or organisational arrangement that changes how a site is used, interpreted, revisited or cared for beyond a single event. Support includes permissions, budgets, staff, technical labour, care and institutional responsibility. Aftercare covers maintenance, storage, consent review, access, transfer and responsible ending. New Genre Public Art provides the historical starting point because Lacy (1994, 2010) links public issues, collaboration, education and civic visibility. Kester (2004, 2011) helps me understand dialogue and collaborative labour, while Bishop (2006, 2012) prevents participation from being treated as an automatic

ethical good. Kwon (2002) expands site beyond location. Jackson (2011, 2022) and Belfiore (2022) make support, care and hidden labour visible. Practitioner cases, including Lacy, Ukeles, van Heeswijk and Wu Mali, will be read critically rather than celebrated as models. Institutional publicity will be distinguished from independent evaluation, and claims about what lasted will require follow-up evidence.

My values do not begin from a deficit view of communities. Rural children and other residents already possess creative and aesthetic capacities. The inequality at stake concerns access to materials, institutions, time, public space, cultural histories, recognition and decision-making. Ranciere (1991) supports an assumption of equal intelligence, while Dewey (1934) locates art in experience rather than in elite objects alone. I therefore place the artist in a bounded and accountable position. Artists may contribute material, formal and spatial judgement, but they do not possess superior local or moral knowledge. Art is not assumed to be necessary for every social problem. Each case and practice cycle will ask what artistic methods enable that education, social work, planning or policy methods would not achieve alone.

My identity provides a point of entry, not automatic authority. I am a Chinese artist-researcher trained in painting, watercolour and material image-making, now studying in the United Kingdom. My bilingual and cross-context position enables me to connect practice, arts management and cultural policy, but it does not allow me to represent Chinese communities without negotiation. Following Haraway (1988), I understand knowledge as situated and partial. My legitimacy must therefore be developed through local partnerships, consent, shared decisions, reflexive documentation and a willingness to change the project when local knowledge challenges my assumptions.

The final participant-facing practice will take place in China. UK research will provide comparative cases and professional perspectives rather than an intervention site. China's museums, community cultural centres, non-profit organisations, universities, local authorities and commercial cultural spaces hold different forms of authority, access, funding and maintenance capacity. Recent work on grassroots cultural infrastructure and public cultural space shows why these institutional differences require close analysis (Liu and Zhu, 2023; Pang and Chen, 2023; Mittelstaedt, 2024). The project's gap therefore lies not in a lack of participation, but in the limited understanding of how artistic decisions, institutional support and responsible endings shape participation's afterlife.

Aims and Objectives (approx.. 250 – 500 words)

The aim is to develop and test a critical, practice-led and institutionally grounded framework for understanding the appropriate afterlives of participatory public art in China. The framework will not rank projects by duration or offer a universal toolkit. It will help artists, residents and institutions judge whether continuation, adaptation, transfer or closure is responsible in a specific setting.

The central question is supported by three subquestions. How are artistic authority, local knowledge and institutional decision-making negotiated during and after a project? Which forms of afterlife are valued by residents, artists, cultural institutions and other stakeholders, and what evidence supports those claims? Under what conditions is responsible closure more ethical and useful than continued delivery?

The objectives form a connected sequence. The first objective is to refine the conceptual and ethical position of the research. This includes defining durability, spatial public practice, support and aftercare; examining whether an artistic intervention is necessary; and clarifying the artist's bounded authority and my own situated position.

The second objective is to map the Chinese institutional field through official policy texts, Chinese-language scholarship and arts-management analysis. It will examine museums, community cultural centres, non-profit organisations, universities, local authorities and commercial cultural spaces in relation to permission, budgets, interpretation, public access, labour and maintenance.

The third objective is to compare approximately six to eight Chinese and international cases through a common matrix. The analysis will include public issue, participants and non-participants, power, artistic contribution, spatial form, funding, maintenance, conflict, aftercare and evidence of continuation or closure. Cases with longitudinal, contested or unsuccessful outcomes will be prioritised.

The fourth objective is to conduct two iterative practice cycles in China. The first cycle will test how local stories, materials, movement, sound or shared making may become spatial public practice. Its negotiation, permissions, refusals, failures, maintenance demands and ending will be documented as evidence. The second cycle will revise the approach and test whether its principles can adapt across a different phase, site or institutional arrangement.

The final objective is to synthesise theory, cases, fieldwork and practice into an adaptive framework. The framework will preserve disagreement and difference rather than turn participation into a managerial checklist. It will identify when an artistic process adds distinctive public value, what support it requires, what responsibilities are transferred, and when a clear ending is the most responsible result.

Proposed plan of work including timetable

Proposed plan of work

October to December 2026 will consolidate the revised research question and working definitions of appropriate afterlife, durability, spatial public practice, support and aftercare. I will update the ethical position on artistic authority, cultural inequality and researcher positionality. **Output:** revised PG1, conceptual glossary and ethics issues log.

January to March 2027 will extend the literature and practitioner map. The review will include recent Chinese-language scholarship, books on art practice and cultural policy, and longitudinal or contested evaluations of participatory projects. Sources will be classified as peer-reviewed research, official policy, institutional documentation or independent evaluation. **Output:** annotated bibliography, field map and evidence-quality protocol.

April to June 2027 will analyse Chinese institutional and policy conditions. Museums, community cultural centres, non-profit organisations, universities, local authorities and commercial cultural spaces will be mapped in relation to authority, access, budgets, labour and maintenance. Preliminary professional contacts will begin without participant recruitment. **Output:** institutional ecology map, policy chapter draft and staged access plan.

July to September 2027 will select approximately six to eight comparative cases and complete the shared case matrix. UK cases will serve as historical and institutional comparison; Chinese cases will establish the main field context. Cases with follow-up evidence, conflict, failure or responsible closure will be prioritised. **Output:** case-selection rationale, case dossiers .

October to December 2027 will undertake UK comparative case research and China access development. This may include professional interviews, observation of existing projects and documentary analysis in the UK, alongside remote scoping conversations with potential Chinese collaborators. **Output:** first interview set, observation notes, institutional contact records and revised China fieldwork plan.

January to March 2028 will complete ethics approval, site permissions, risk assessment and formal agreements for China fieldwork. Interview schedules, bilingual information sheets, staged consent procedures, authorship arrangements and data-management plans will be finalised. **Output:** approved ethics package, confirmed China site and practice protocol.

April to June 2028 will conduct China fieldwork and Practice Cycle One. The work will include institutional and resident interviews, observation, material and spatial inquiry, and a small site-responsive participatory public form. Negotiation, refusal, failure, permissions, budgets, maintenance and closure decisions will be documented as research evidence. **Output:** Cycle One practice material, fieldnotes and initial aftercare plan.

July to September 2028 will analyse Cycle One and conduct an initial follow-up. Cross-case and thematic analysis will test what continued, changed, transferred or ended. The practice method and framework will be revised with participants and the host institution where appropriate. **Output:** Cycle One analytical report, framework version one and Cycle Two design.

October to December 2028 will conduct Practice Cycle Two in China. This cycle will test adaptation in a different phase, site or institutional arrangement and will include a planned route for maintenance, transfer or responsible closure. **Output:** Cycle Two practice material, institutional records, participant feedback and closure/transfer documentation.

January to March 2029 will complete follow-up interviews and observations for both practice cycles, including the three- and six-month Cycle One windows where feasible. Comparative analysis will integrate UK cases, Chinese cases, policy, management and practice evidence. **Output:** afterlife evidence set, comparative findings and framework version two.

April to June 2029 will complete the full thesis and practice portfolio draft. Chapters will address context, concepts, policy and institutions, methodology, comparative cases, practice cycles, findings and contribution. References, translations, case claims and evidence of afterlife will be rechecked. **Output:** complete draft, documented practice portfolio and data-closure plan.

July to September 2029 will revise and submit the thesis, complete responsible transfer or closure with partner institutions, archive consented research materials and prepare for the viva. Dissemination plans will distinguish academic findings from participant-owned or institutionally restricted material. **Output:** final submission, viva preparation and agreed project closure or legacy arrangements.

Throughout the candidature, non-participant studio inquiry - drawing, painting, mapping, material tests and spatial diagrams - will translate theory and field evidence into practice decisions. This continuous work will connect the two formal participant-facing cycles rather than leaving practice to a single late experiment.

Proposed methodology (approx. 500 words):

This project will use a qualitative, practice-led and critically interpretive methodology. Practice is necessary because the research asks how participation becomes material, spatial and institutionally supported; these decisions cannot be understood through documents alone. Practice will not be used to prove that the framework succeeds. It will test where artistic judgement, participant agency, institutional limits, maintenance and responsible closure become visible.

A structured literature and practitioner review will build the conceptual field. Foundational Anglophone sources will be read alongside recent Chinese-language scholarship, official Chinese policy and longitudinal evaluations. Official policy texts, researcher translations, institutional publicity and independent evaluation will be identified as different source types. Practitioner documentation will be used as primary evidence of intention and process, not as independent proof of impact.

Policy and arts-management analysis will examine how institutions define public value, participation, risk, funding, labour, evaluation and sustainability. The final implementation site will be in China. UK research will be limited to comparative case study, professional interviews and observation of existing work. Access will be staged through documentary mapping, preliminary professional contact, formal institutional agreement, ethics and site approval, and only then participant-facing activity in China. If access is delayed, remote interviews and document analysis will continue, while the China practice cycles will be postponed rather than replaced by a UK intervention.

The indicative case corpus is six to eight cases, selected purposively for institutional and outcome variation. A common matrix will examine issue framing, participants and non-participants, artist authority, local knowledge, institutional power, spatial form, funding, technical and maintenance labour, conflict, aftercare and evidence of continuation, transfer or closure. Existing cases will be prioritised where post-event evidence is available, ideally extending at least twelve months, or where a contested ending provides a valuable negative case.

Approximately thirty to forty adult participants may be recruited across artists, curators, arts managers, educators, community workers, residents, policy-related staff, funders, technicians and maintenance personnel. Semi-structured interviews will explore how projects are commissioned, how decisions are distributed, what art adds, how participants are represented and what happens after the public phase. Observation will attend to movement, silence, hesitation, access, exclusion, informal authority, use of space and maintenance conditions. Non-participation will be treated as evidence where it reveals weak relevance, access barriers or distrust.

Two iterative practice cycles will take place in China after ethical and site approval. Cycle One will develop a small, site-responsive public form with a clearly defined participant group and host institution. Cycle Two will revise the method in response to evidence from the first cycle and test adaptation, transfer or closure.

Research evidence will include sketches, material tests, spatial diagrams, meeting records, permissions, budgets, correspondence, participant-generated material, fieldnotes, photographs or sound where consented, maintenance decisions and closure or transfer records. Follow-up will occur approximately three and six months after Cycle One where feasible, and at least once after Cycle Two. These windows will not prove permanence; they will trace whether use, access, relationships, skills, resources or responsibilities continue, change or end.

Analysis will combine reflexive thematic analysis, cross-case synthesis and practice reflection. Sample adequacy will be judged through information power and analytic sufficiency rather than a fixed numerical rule (Malterud, Siersma and Guassora, 2016; Braun and Clarke, 2021, 2022). A reflexive journal will record my formal decisions, institutional negotiations and changing assumptions. The final framework will remain open to cases in which art is unnecessary, support is withdrawn, or responsible closure is preferable.

Introductory bibliography:

Foundational theory, artistic value and practice

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Bishop, C. (2012) *Artificial Hells: Participatory Art and the Politics of Spectatorship*. London: Verso.

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Haraway, D. (1988) 'Situated knowledges: The science question in feminism and the privilege of partial perspective', *Feminist Studies*, 14(3), pp. 575-599. doi:10.2307/3178066.

Helguera, P. (2011) *Education for Socially Engaged Art: A Materials and Techniques Handbook*. New York: Jorge Pinto Books.

Jackson, S. (2011) *Social Works: Performing Art, Supporting Publics*. New York: Routledge.

Jackson, S. (2022) *Back Stages: Essays across Art, Performance, and Public Life*. Evanston, IL: Northwestern University Press.

Kester, G.H. (2004) *Conversation Pieces: Community and Communication in Modern Art*. Berkeley, CA: University of California Press.

Kester, G.H. (2011) *The One and the Many: Contemporary Collaborative Art in a Global Context*. Durham, NC: Duke University Press.

Kester, G.H. (2023) *Beyond the Sovereign Self: Aesthetic Autonomy from the Avant-Garde to Socially Engaged Art*.

Durham, NC: Duke University Press.

Kwon, M. (2002) *One Place after Another: Site-Specific Art and Locational Identity*. Cambridge, MA: MIT Press.

Lacy, S. (ed.) (1994) *Mapping the Terrain: New Genre Public Art*. Seattle, WA: Bay Press.

Lacy, S. (2010) *Leaving Art: Writings on Performance, Politics, and Publics, 1974-2007*. Durham, NC: Duke University Press.

Matarasso, F. (2019) *A Restless Art: How Participation Won, and Why It Matters*. Lisbon: Calouste Gulbenkian Foundation.

O'Neill, P. and Doherty, C. (eds.) (2011) *Locating the Producers: Durational Approaches to Public Art*. Amsterdam: Valiz.

Ranciere, J. (1991) *The Ignorant Schoolmaster: Five Lessons in Intellectual Emancipation*. Translated by K. Ross. Stanford, CA: Stanford University Press.

Simoniti, V. (2018) 'Assessing socially engaged art', *The Journal of Aesthetics and Art Criticism*, 76(1), pp. 71-82. doi:10.1111/jaac.12414.

Sullivan, G. (2010) *Art Practice as Research: Inquiry in Visual Arts*. 2nd edn. Los Angeles, CA: SAGE.

Durability, support, labour, evaluation and cultural policy

Arts Council England (2020) *Let's Create: Strategy 2020-2030*. London: Arts Council England.

Belfiore, E. and Bennett, O. (2008) *The Social Impact of the Arts: An Intellectual History*. Basingstoke: Palgrave Macmillan.

Belfiore, E. (2022) 'Who cares? At what price? The hidden costs of socially engaged arts labour and the moral failure of cultural policy', *European Journal of Cultural Studies*, 25(1), pp. 61-78. doi:10.1177/1367549420982863.

Caust, J. (2020) *Arts Leadership in Contemporary Contexts*. London: Routledge.

Durrer, V., Miller, T. and O'Brien, D. (eds.) (2018) *The Routledge Handbook of Global Cultural Policy*. London: Routledge.

Francis, A. (2023) 'Planning for change, long term: The 100-year plan', *Local Economy*, 37(8), pp. 727-733. doi:10.1177/02690942231176524.

Hadley, S. (2021) *Audience Development and Cultural Policy*. Cham: Palgrave Macmillan.

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O'Brien, D. (2014) *Cultural Policy: Management, Value and Modernity in the Creative Industries*. London: Routledge.

Pavarini, G. et al. (2021) 'Ethical issues in participatory arts methods for young people with adverse childhood experiences', *Health Expectations*, 24(5), pp. 1557-1569. doi:10.1111/hex.13314.

Peters, S. and Barnett, T. (2024) 'Preparing artists to save the world: Community-engaged arts practice as critical pedagogy', *Critical Arts*, 38(4-5), pp. 159-174. doi:10.1080/02560046.2024.2338355.

Ravetz, A. and Sanchez-Camus, R.M. (2023) 'Social artists and inclusive cultural policy', *Journal of Cultural Management and Cultural Policy*, 2023, pp. 173-188. doi:10.14361/zkmm-2023-0108.

Wallen, L. and Docherty-Hughes, J.R. (2022) 'Caring spaces: Individual and social wellbeing in museum community engagement experiences', *Journal of Museum Education*, 47(1), pp. 93-102. doi:10.1080/10598650.2021.2021490.

China-context peer-reviewed and Chinese-language scholarship

Dai, Y. and Hu, Y. (2022) '公共数字文化服务可及性要素研究 [Research on accessibility elements of public digital cultural services]', *图书情报工作 [Library and Information Service]*, 66(16), pp. 57-68. doi:10.13266/j.issn.0252-3116.2022.16.006.

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Pang, Y. and Chen, B. (2023) '美好生活视域下城市公共文化空间肌理研究: 以武汉市“长江文明之心”为例 [Texture of urban public cultural space under the perspective of good life]', *图书情报知识 [Documentation, Information and Knowledge]*, 40(3), pp. 104-115. doi:10.13366/j.dik.2023.03.104.

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Zhao, C. (2023) '城镇化背景下的乡村文化空间重构: 以 S 省花园社区为例 [The reconstruction of rural cultural space under urbanisation]', *华东师范大学学报(哲学社会科学版) [Journal of East China Normal University (Humanities and Social Sciences)]*, 55(3), pp. 119-128. doi:10.16382/j.cnki.1000-5579.2023.03.012.

Zheng, J. (2019) 'Producing Chinese urban landscapes of public art: The urban sculpture scene in Shanghai', *The China Quarterly*, 239, pp. 775-803. doi:10.1017/S030574101900002X.

Zheng, J. and Zheng, X. (2022) 'Does public participation matter to planning? Urban sculpture reception in the context of elite-led planning in Shanghai', *Sustainability*, 14(19), 12179. doi:10.3390/su141912179.

Official Chinese policy sources

Ministry of Culture and Tourism of the People's Republic of China (2021a) «“十四五”公共文化服务体系建设规划» [14th Five-Year Plan for the Public Cultural Service System]. Beijing: Ministry of Culture and Tourism. Available at: https://zwgk.mct.gov.cn/zfxgkml/ggfw/202106/t20210623_925879.html (Accessed: 22 July 2026).

Ministry of Culture and Tourism of the People's Republic of China, National Development and Reform Commission and Ministry of Finance (2021b) «关于推动公共文化服务高质量发展的意见» [Opinions on Promoting High-Quality Development of Public Cultural Services]. Beijing: Ministry of Culture and Tourism. Available at: https://zwgk.mct.gov.cn/zfxgkml/ggfw/202103/t20210323_923230.html (Accessed: 22 July 2026).

Standing Committee of the National People's Congress (2016) «中华人民共和国公共文化服务保障法» [Public Cultural Service Guarantee Law of the People's Republic of China]. Beijing: National People's Congress. Available at:

https://www.npc.gov.cn/zgrdw/npc/lfzt/rlyw/node_30114.htm (Accessed: 22 July 2026).

Note: Chinese originals will be treated as authoritative. English titles above are working translations for the proposal.

Methodology and research design

Braun, V. and Clarke, V. (2021) 'To saturate or not to saturate? Questioning data saturation as a useful concept for thematic analysis and sample-size rationales', *Qualitative Research in Sport, Exercise and Health*, 13(2), pp. 201-216. doi:10.1080/2159676X.2019.1704846.

Braun, V. and Clarke, V. (2022) *Thematic Analysis: A Practical Guide*. London: SAGE.

Candy, L. and Edmonds, E. (2018) 'Practice-based research in the creative arts', *Leonardo*, 51(1), pp. 63-69. doi:10.1162/LEON_a_01471.

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Leavy, P. (2020) *Method Meets Art: Arts-Based Research Practice*. 3rd edn. New York: Guilford Press.

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Yin, R.K. (2018) *Case Study Research and Applications: Design and Methods*. 6th edn. Los Angeles, CA: SAGE.

Primary and institutional case documentation

Liverpool Biennial (2012) 'Jeanne van Heeswijk: 2Up2Down / Homebaked'. Available at:

<https://www.biennial.com/artists/jeanne-van-heeswijk/> (Accessed: 22 July 2026).

Philadelphia Museum of Art (2017) *Philadelphia Assembled*. Available at:

<https://www.philamuseum.org/exhibitions/philadelphia-assembled> (Accessed: 22 July 2026).

Taishin Bank Foundation for Arts and Culture (2012) *Art as Environment: A Cultural Action at the Plum Tree Creek*.

Available at: <https://www.taishinart.org.tw/en/art-award-year-detail/2012/463> (Accessed: 22 July 2026).

Facilities and resources available for the investigation: please indicate if you expect to need any special resources

The project will require UWTSD library and database access, supervision, ethics and Trusted Research guidance, reference-management software and secure data storage. Standard audio-recording equipment, a camera, transcription or translation support, and permission to use cultural or community spaces will be needed. China travel, accommodation and routine practice materials are expected to be self-funded unless external or in-kind support is formally agreed. Any external support, venue use or equipment loan will be declared and will not give a partner control over findings, participant data or publication. No specialist VR or AR facilities are currently required. Technical, access, installation and maintenance needs for each China practice cycle will be confirmed through site agreement and risk assessment.

Special Issues

This proposal includes several special aspects that require explicit management.

The research is practice-led and will include non-written evidence. Drawing, painting, maps, field photographs, meeting records, participant-generated texts or images, sound, printed matter, spatial diagrams, prototypes and temporary public forms may be included. These materials will not be decorative supplements. They will document how artistic choices, permissions, refusals, institutional negotiation, maintenance and closure shape the research. Two participant-facing practice cycles will take place in China after approval; ongoing studio work will connect the cycles.

The project is individual, but fieldwork and practice may involve artists, curators, arts managers, educators, residents, technical and maintenance staff, cultural institutions and local organisations. Collaboration does not make all participants equal or automatically turn them into co-researchers. Roles, decision rights, attribution, consent, payment or reimbursement, access to outputs and responsibility for aftercare will be agreed in advance. The artist's authority will be treated as bounded: I will retain responsibility for formal and research decisions while making clear which decisions participants and host organisations can influence.

The final participant-facing implementation and resident recruitment will take place in China. UK activity will be limited to comparative cases, professional interviews and observation of existing work. China fieldwork will require UWTSD ethical approval, a staged access agreement, local institutional permission, compliance with applicable Chinese law and data-protection requirements, a Trusted Research and Innovation review where required, and travel-safety approval. If access is delayed, documentary and remote professional research may continue, but the final practice will not be relocated to the UK merely for convenience.

A bar on access is not currently sought for the thesis as a whole. Contact details, consent forms, raw recordings, unedited images, sensitive institutional material and participant contributions shared under restricted conditions will remain confidential. Public outputs will use anonymisation or agreed attribution. Participants will retain rights in their original contributions; any public display, publication or reuse will require specific consent. The research will plan not only maintenance and transfer but also responsible closure,

including removal, return, storage, archive access, consent review and clear communication when continuation is not appropriate.

These issues do not make the project unfeasible. They define the ethical and institutional conditions under which the research can proceed.

Language in which submitted

The thesis will be written in [please tick as appropriate]: Welsh

☐

English

☒

Use of Generative Artificial Intelligence

In line with [UWTSD guidance](#), Generative AI will be used in this thesis for the following purposes:

	Tick ✓	YES	NO
RESEARCH	I intend to use Generative AI to support my research, including searching for bibliography, using tools to summarise, compare and interrogate materials.	☒	☐
STRUCTURE	I intend to use Generative AI to support structuring my thesis submission, including creating a draft argument structure, identifying parts and headings, etc.	☒	☐
PROOFREADING	I intend to use Generative AI to check my own text/creation for grammatical and syntactical mistakes, including translation and rephrasing of my own work within specific standards.	☒	☐
WRITING	I intend to use Generative AI to create text for submission.	☒	☐
CREATIVE	I intend to use Generative AI to create creative materials, such as images.	☐	☒
PROGRAMING	I intend to use Generative AI to create and check code.	☐	☒
NONE	I do not intend to use any type of Generative AI support. This includes research support, structure support, writing/proofreading support and creative support.	☐	☒

Intellectual Property IP

Tick ✓

	YES	NO
It is anticipated that Intellectual Property (IP) will be produced as a result of this research, other than copyright.	☐	☒
If yes, is the IP already subject to a separate agreement with a third party (e.g. employer, sponsor or external funder)? If so please provide details below	☐	☒
Is the research dependent upon background IP owned by: If so, please provide details below	UWTSD ☐	A third party ☐

Tick ✓

I understand that:	YES	NO
If any party other than the student is likely to be involved in the development of IP a separate IP agreement will be needed and it may be necessary for the student to assign the IP rights to the University.	☒	☐
If there are no third parties involved in the creation of the IP the student is deemed to own the IP, however should the student wish to commercially exploit their IP and require the assistance of the University to do so, they will be required to assign their IP to the University. https://www.uwtsd.ac.uk/iiced/protecting-innovation-and-creativity---intellectual-property/	☒	☐

Student Signature

Signature or Print Name:		Date:
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Supervisory Team

Has the student proposed a viable research project that is appropriate for this programme that should be supported by the Institute?	
Supported: ☐	Not Supported: ☐

Authorisation

Director of Studies	Print Name and Signature:	Date:
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Institute Manager of Research Degrees	Signature or Print Name:	Date:
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Once complete, submit this form via the MyTSD Doctoral College Portal at (<https://mytsd.uwtsd.ac.uk>).

APPLICATION FOR ETHICAL APPROVAL – INTRODUCTORY NOTES

In order for research to result in benefit and minimise risk of harm, it must be conducted ethically. A researcher may not be covered by the University's insurance if ethical approval has not been obtained prior to commencement.

The University follows the OECD Frascati manual definition of **research activity**:

"[C]reative work undertaken on a systematic basis in order to increase the stock of knowledge, including knowledge of man, culture and society, and the use of this stock of knowledge to devise new applications".

As such this covers activities undertaken by:

- Members of staff (academic staff or support staff);
- Individuals holding honorary title from the University;
- Postgraduate research students;

In all of these cases ethical review is required regardless of discipline.

The individual undertaking the research activity is known as the **lead researcher**.

Ethical approval is not required for routine audits, performance reviews, quality assurance studies, testing within normal educational requirements, and literary or artistic criticism.

For most projects you will only need to complete sections in the main part of the form. A few projects will need more detailed ethical consideration and will need you to fill in sections in an appendix. At some points in this form you will be asked questions about your research in the following way:

1	Does your research involve <<something specific>>?	YES	Click to continue to appendix <<N>>	NO	Continue to the next section
2	Have you completed appendix <<N>>?	YES	☐	NO	☒

Clicking in the appropriate box will take you to the appropriate location in the text. At the end of each appendix is a box. Clicking on this will return you to the question that originally took you to the appendix.

Return to the main form

NB These clickable links will only work if you are editing the document in the desktop version of Word, not the browser version. Please download and save the form before editing it.

Guidance notes are provided as comments or as text throughout this form. Please ensure that the comments are removed and that the green text is replaced by your own text or removed as appropriate BEFORE submitting this form.

Please ensure that you have read the UWTSD Research Ethics and Integrity Policy and the UWTSD Research Data Management Policy BEFORE submitting this form.



APPLICATION FOR ETHICAL APPROVAL

SECTION A: About You (Lead Researcher)

1	Full Name:	Linna Chen			
2	Tick all boxes that apply:	Member of staff:	☐	Honorary research fellow:	☐
	Undergraduate Student ☐	☐	Taught Postgraduate Student ☐	☐	Postgraduate Research Student ☒
3	Institute/Academic Discipline/Centre:	University of Wales Trinity Saint David			
4	Campus:	Swansea			
5	E-mail address:	2502823@student.uwtsd.ac.uk			
6	Contact Telephone Number:	07587918654			
7	Project Title	Beyond Participation and Durability: Artistic Necessity, Participatory Integrity, Evidential Integrity and Responsible Lifecycles in Chinese Participatory Public Art			
8	Proposed Start Date	30 September 2026	Proposed End Date	30 September 2028	
For students:					
9	Student Number:	2502823			
10	Programme of Study:	Professional Doctorate			
11	Director of Studies/Supervisor:	Timi O'Neill ; Kylie Boon ; Jianlan Feng			

SECTION B: Grant or Contract Funding

1	Has your research been awarded, applied for, or intend to apply for external funding?	YES	☐	NO	☒
2	Have you completed appendix 1?	YES	☒	NO	☐

SECTION C: Internal and External Ethical Guidance Materials

Ethical Guidance Documents

Please list the core ethical guidance documents that have been referred to during the completion of this form (including any discipline-specific codes of research ethics, location-specific codes of research ethics, and also any specific ethical guidance relating to the proposed methodology). Please tick to confirm that your research proposal adheres to these codes and guidelines. You may add rows to this table if needed.

1	UWTSD Research Ethics and Integrity Policy (current version)	☒
2	UWTSD Research Data Management Policy 2022; research privacy and personal-data-breach requirements	☒
3	UWTSD Open Access Publications Policy and Intellectual Property Policy	☒

4	UWTSD Trusted Research and Innovation Policy; due diligence and export-control screening	☒
5	UK GDPR; Data Protection Act 2018; ICO research, anonymisation, pseudonymisation and international-transfer guidance; BERA Ethical Guidelines (2024)	☒
6	PRC Personal Information Protection Law 2021; Data Security Law 2021; Network Data Security Management Regulations (effective 2025)	☒
7	CAC Provisions on Promoting and Regulating Cross-Border Data Flows (2024); PRC Measures for Administration of Foreign-Related Surveys	☒
8	PRC Measures for Ethical Review of Science and Technology (Trial); Civil Code privacy/portrait rights; Copyright Law; local site, filming and event permissions	☒
9	Current FCDO China travel advice; UWTSD travel, lone-working, health and safety, safeguarding and information-security requirements	☒

SECTION D: External Collaborative Research Activity

1	Does your research involve collaborating partners at another institution or organisation?	YES	☐	NO	☒
2	Have you completed appendix 2?	YES	☒	NO	☐

SECTION E: Details of Research Activity

Aims, Vision and Approach of the Research (maximum 200 words per section)

Please outline what are you hoping to achieve with your proposed work and how will you deliver it?

1	Research aims and objectives
The central question is: Under what relational, evidential, artistic, institutional, managerial and spatial conditions is a participatory public art intervention in China justified, and how should decisions to proceed, adapt, transfer, pause or responsibly close it be made? The aim is to develop and test a contextual decision framework for Chinese participatory public art rather than a universal model. Objectives are to: (1) refine artistic necessity, participatory integrity, evidential integrity, narrative integrity and responsible lifecycle; (2) analyse Chinese cultural-policy, arts-management and institutional conditions; (3) compare approximately 6-8 UK and China cases, including contested, unsuccessful and responsibly closed projects; (4) conduct policy/document analysis, approximately 30-40 adult interviews and consented observations; (5) complete a 4-6 week non-intervention reconnaissance at an approved China site; (6) conduct up to two small, reversible China-based practice cycles, with the second cycle conditional on a continuation review; and (7) produce a framework for deciding whether to proceed, adapt, transfer, pause, close or not make art. Any material change will require prior review or amendment.	
2	Vision

The study responds to a recurring problem: projects may claim participation, inclusion or public value while residents have little influence over the issue, budget, form, representation or ending. It does not assume that art, participation or continuation is inherently beneficial. Communities are not treated as deficient in creativity; the ethical concern is unequal access to resources, recognition, space and decision-making. The contribution is a transparent way to test whether art is necessary, whether claimed participation corresponds to traceable influence, whether academic claims are supported by consented evidence, and whether continuation remains relevant and proportionate. Responsible closure may be preferable to artificial continuation. The final participant-facing practice will take place in China because the research concerns specific Chinese institutional, policy, spatial and community conditions. UK activity supplies comparative cases and professional perspectives only. Anticipated impact lies in more honest commissioning, clearer rights, proportionate claims, better data/media management and accountable project endings.

3 Approach

A qualitative, critical-interpretivist, practice-led, comparative and longitudinal multiple-case design will be used, with action-research-informed but non-automatic practice cycles. Data will include public and permissioned documents, semi-structured interviews, limited small-group discussions, consented observation, fieldnotes, decision logs, optional audio-visual material and participant-created work. Purposive and maximum-variation sampling will cover residents, artists, curators, managers, educators, policy/public-cultural staff, funders, technicians, maintenance workers and commercial actors. Analysis will combine reflexive thematic analysis, decision tracing, claim-evidence alignment, negative-case analysis and structured cross-case synthesis. China activity will start only after UWTSD approval, named host and site permission, partner due diligence, local ethics and foreign-related-survey determinations, lawful cross-border-data arrangements, travel approval and site risk assessment. The practice threshold requires local relevance, artistic added value, free consent, real participant influence, institutional support and a closure plan. Failure, refusal, non-intervention and closure are valid results.

4 Location of research activity

Identify all locations where research activity will take place.

Swansea(UWTSD): supervision, training, analysis and secure data management only. United Kingdom: 2-3 comparative case organisations in locations such as London, Liverpool or another approved city; professional interviews, public/permissioned documents and consented observation of existing projects only. Mainland China: principal fieldwork and all researcher-led practice. Wuhan, Hubei is the provisional practice region. Additional case research may occur in Shanghai, Xi'an/Shaanxi and/or another approved city. Exact organisations, legal entities, contacts and venues remain unconfirmed. No China site will activate until a signed Site Activation Record, legal/ethical review, foreign-related-survey determination, TR&I due diligence, data-transfer decision and travel approval are complete.

5	Will any of your research be undertaken outside of the UK?	YES	☐	NO	☒
6	Have you completed any of appendix 3?	YES	☒	NO	☐

SECTION F: Research Methods

Will the research activity include:		YES	NO
1	Use of a questionnaire or similar research instrument?	☒	☐
2	Use of interviews?	☒	☐
3	Use of focus groups?	☒	☐
4	Use of participant diaries?	☐	☒
5	Use of video or audio recording?	☒	☐
6	Use of computer-generated log files?	☐	☒
7	Participant observation with their knowledge?	☒	☐

8	Participant observation without their knowledge?	☐	☒
9	Access to personal or confidential information without the participants' specific consent?	☐	☒
10	Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☒	☐
11	Performance of any acts which may cause embarrassment or affect self-esteem?	☒	☐
12	Investigation of participants involved in illegal activities?	☐	☒
13	Use of procedures that involve deception?	☐	☒
14	Administration of any substance, agent or placebo?	☐	☒
15	Working with live vertebrate animals?	☐	☒
16	Procedures that may have a negative impact on the environment?	☐	☒
17	Other primary data collection methods. Please indicate the type of data collection method(s) below.		

Primary methods will include policy and institutional document analysis; semi-structured interviews; limited, consent-based small-group discussions; consented observation of existing projects; a 4-6 week China reconnaissance; participant-generated maps, images, texts, sounds or artworks; site walks; decision and refusal logs; optional feedback cards; and up to two low-risk, reversible China-based practice cycles. The second practice cycle is conditional on a formal continuation review. Questions may involve project failure, exclusion, institutional pressure or conflict and could cause mild discomfort; participants may skip, pause or stop. No covert observation, deception or undisclosed recording will occur. Off-record conversations may sensitise later questions but will not be quoted or treated as empirical findings. Public bystanders will not be systematically recorded or analysed without consent.

SECTION G: Research Participants

Research participants include people who will be taking part in your research as providers of research data (e.g. being interviewed, answering questionnaires, or doing user testing of hardware or software). This includes animal participants.

1	Does your research involve human or non-human participants?	YES	☒	NO	☐
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Participant numbers and source

How will you ensure an appropriately convened sample group in order to meet the aims of the research? Give details for subgroups separately, if appropriate. How will any potential pitfalls, for example dual roles or potential for coercion, be addressed?

1	How many participants will be recruited and how was the number decided upon?	Approximately 30-40 unique adults are anticipated: 6-8 UK arts/public-culture professionals; 10-14 China-based artists, curators, arts/cultural managers, institutional or public-cultural staff; 10-14 adult residents, merchants or practice participants in China; and 4-6 technical, maintenance, funding, policy-related or commercial stakeholders, with role overlap permitted. Up to 12 consented observations and two small-group/practice cycles may occur. This is a qualitatively led sample based on information power, institutional variation, negative cases and analytic sufficiency, not statistical representation. Recruitment will continue only while new material materially changes the analysis.
2	Who will the participants be?	Adults aged 18+ with capacity to consent and direct experience of a selected public-art project, institution or China practice site. Roles may include residents, merchants, previous participants, artists, curators, arts managers, cultural administrators, museum/community-cultural-centre staff, educators, local-authority/public-cultural-service staff, funders, technicians, maintenance workers and commercial partners. UK participants will be professionals associated with comparative cases. All resident-facing recruitment and researcher-led practice will take place in China. No child, adult lacking capacity, prisoner, clinical patient or person recruited because of a vulnerable status will be intentionally included.
3	How will you identify the	Professional participants will be approached through public contact details, approved organisations and participant-led referral. Residents/merchants will respond directly to

	participants?	neutral bilingual posters, notices or invitations circulated by an approved host. Gatekeepers may distribute information but will not disclose lists, choose "acceptable" participants, observe consent decisions or learn who declined. Referrals will be opt-in: an existing participant forwards the invitation rather than sharing another person's details. The researcher will not recruit anyone over whom she has assessment, employment, tenancy, service or financial authority.
4	Will you be excluding any groups of people, and if so what is the rationale for that?	Excluded: under-18s; adults unable to provide informed consent; anyone for whom privacy, legality or voluntariness cannot be secured; people in restricted, military, security-sensitive or politically high-risk settings; and anyone whose participation would create unmanaged dependency or retaliation risk. No recruitment will be based on ethnicity, religion, health, sexuality or political belief. If later inclusion of a protected or higher-risk group becomes necessary, recruitment will not begin without an amendment, specialist review and adapted materials.
5	Will the research involve any element of deception? If yes, please describe why this is necessary and whether participants will be informed at the end of the study	No deception. The question, purpose, procedures, recording, intended outputs, power limits, data transfer, public-display options, withdrawal and closure arrangements will be explained in English or Mandarin before participation. Narrative prompts will not hide a predetermined "rescue" conclusion.
6	Describe whether participants will be able to withdraw from the study, and up to what point (eg if data is to be anonymised). If withdrawal is not possible, after a certain point, explain why not.	Participants may skip questions, pause or stop at any time. Identifiable interview material may be withdrawn until 14 days after receipt of the transcript/summary, or 30 days after the session if no review copy is requested. Practice participants may withdraw identifiable contributions until the media/works lock date, which will be stated in writing and will be at least 14 days before public display or online release. Data will be deleted where still identifiable and not irreversibly anonymised, published or copied by third parties. Withdrawal from participation does not require return of reasonable reimbursement already paid. Limits will be explained before consent.
7	How long will the participant have to decide whether to take part in the research?	Potential participants will normally receive the information sheet at least 7 days before deciding, with 14 days offered where practicable. They may ask questions by email, telephone or an online/in-person meeting. Same-day recruitment will not be used for interviews. For an open workshop, people may attend without joining the research; research consent will be sought separately before any data are recorded or used.
8	What arrangements have been made for participants who might have difficulties understanding verbal explanations or written information, or who have particular communication needs that should be taken into account to facilitate their involvement in the research?	Plain-language Participant Information Sheets and consent forms will be available in English and Simplified Chinese. Participants may choose oral explanation, large-print/electronic formats, extra time, breaks, an accessible venue or an independent support person. Interviews may be conducted in English or Mandarin by the researcher. If a translator or transcriber is required, an approved person will sign confidentiality and data-processing terms and receive only the minimum data needed. Anyone who cannot demonstrate informed, voluntary consent will not be enrolled.

SECTION H: Research with Vulnerable People

1	Are your participants classed as vulnerable people?	YES	☐	NO	☒
2	Have you completed appendix 4?	YES	☐	NO	☒

SECTION I: Research Involving Animals

1	Are your participants non-human animals?	YES	☐	NO	☒
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2	Have you completed appendix 5?	YES	☐	NO	☒
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SECTION J: Research with the Prison Service or the Probation Service

1	Are your participants staff or offenders within the Prison Service or the Probation service?	YES	☐	NO	☒
2	Have you completed appendix 6?	YES	☐	NO	☒

SECTION K: Health and Social Care Research

1	Are your participants selected due to their health or social care needs?	YES	☐	NO	☒
2	Have you completed appendix 7?	YES	☐	NO	☒

SECTION L: Types of Personal Data

Personal Data		YES	NO
Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 and the Data Protection Act 2018)?			
1	Personal data means any information relating to an identified or identifiable natural person ('data subject'). An identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person. Any video or audio recordings of participants and transcription of such are considered to be personal data. If you ticked YES, provide a description of the data and explain why this data needs to be collected:	☒	☐
Minimum data may include name/contact details for scheduling; age confirmation (18+); role, organisation, city and relationship to the case; consent and permission records; interview audio/transcripts; fieldnotes; decision/refusal logs; optional photographs, video and identifiable voice; and participant-created text, images, maps, sound or artworks. Contact and identity data are required only for communication, withdrawal and permission tracking. Identifiable media are optional and subject to separate, purpose-specific consent. No passport, national ID, precise home address, routine financial information or biometric identification will be collected. Sales or commercial data will be accepted only if volunteered, non-identifying, lawful and necessary; the study will not promise or claim income improvement without appropriate evidence.			

Special Category Data		YES	NO
Does the research involve the processing of special category data (as defined by the General Data Protection Regulation 2016 and the Data Protection Act 2018)?			
2	Racial or ethnic origin	☐	☒
3	Political opinions	☐	☒

4	Religious or philosophical beliefs	☐	☒
5	Genetic, biometric or health data	☐	☒
6	Sex life or sexual orientation	☐	☒
7	Trade union membership	☐	☒

If you ticked **YES** to any of questions L2-L7, provide a description of the data and explain why this special category data needs to be collected to support the research and that it is in the public interest to do so:

8	No special-category data will be intentionally solicited, coded or analysed. Prompts will avoid political opinions, religion, health, ethnicity, sexuality, trade-union membership, criminal allegations, state secrets and national-security matters. If such material is volunteered, the researcher will interrupt or redirect, minimise the record, redact it where possible and exclude it from analysis/quotation. A genuine need to retain or analyse it would require a documented public-interest justification, Article 9/UK safeguard review, any required separate consent under Chinese law, a DPIA and prior ethics amendment.		
9	Please describe how the research has been designed to gather the minimum amount of personal data necessary for the specified research purpose:		

Only data directly needed to answer the research question will be collected: contact details for scheduling; role and project involvement; interview/observation material; and optional media or artworks. The study will not request exact date of birth, home address, identification numbers, health history, ethnicity, religion, sexual orientation, union membership, political opinions, illegal activity or confidential state/commercial information. Identifiable visual/voice data are opt-in, not a condition of participation. Data will be pseudonymised at the earliest practical point.

10	Demonstrate that the processing is not likely to cause substantial damage or distress to individuals and that their interests will be safeguarded:		
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The main foreseeable harms are re-identification in small professional networks, reputational impact from criticism of an institution, and loss of control over images, voice or artworks. Safeguards include separate consent choices, pseudonyms by default, suppression of organisation/city details where needed, private interviews, secure storage, quotation checking for high-risk material, staged re-consent when material changes form, and no release of raw data to host organisations. The research is not expected to cause substantial damage or distress.

11	Demonstrate that the data will not be used to take any action or make decisions in relation to the individuals concerned:		
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Research data will be used only for academic analysis, practice reflection and agreed dissemination. It will not be used to assess employment, education, eligibility for services, funding, performance, immigration status or any decision about an individual. Host organisations, funders and commercial partners will not receive raw identifiable data or participant lists and will have no veto over findings.

12	Data should be anonymised wherever possible, either at point of capture or once collated. If the data cannot be anonymised, and if pseudonymisation is not possible, demonstrate why that is possible. If special category data cannot be anonymised, explicit consent to share that data must normally be obtained.		
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Residents and other non-public participants will be pseudonymised by default. The identity key will be encrypted and stored separately. Direct identifiers will be removed from transcripts, and contextual details will be generalised where combinations could identify a person. Professionals may choose named attribution only through a separate consent option where their public role is analytically relevant. Identifiable photographs, voice, video and participant-created works will only be used for the specifically selected purposes. Fully anonymised material may be archived; raw identifiable data will not be placed in an open repository.

13	If special category data cannot be anonymised, will you obtain explicit consent to share that data?	YES	NO	N/A
		☐	☐	☒

SECTION M: Participant Information and Consent

Information for participants			
It is normally expected that those participating in research should do so having given their informed consent. If this is not appropriate or practical,	YES	NO	N/A

explicit justification must be provided, in line with prevailing disciplinary conventions. Please note however, that informed consent to participate in the research is separate from consent to process (e.g. collect, analyse, store, reuse or share) personal data, as the University's lawful basis for processing personal data in research activities is part of its 'public task'.				
1	Will you obtain written consent for participation?	☒	☐	☐
2	Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☒	☐	☐
3	Will you tell participants that their participation is voluntary?	☒	☐	☐
4	Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☒	☐	☐
5	If the research is observational, will you ask participants for their consent to being observed?	☒	☐	☐
6	Will you tell participants that they may withdraw from the research at any time and for any reason?	☒	☐	☐
7	Will participants be made aware of how you will treat any information that may reasonably be considered as confidential?	☒	☐	☐
8	If your research requires your participants to sign up for a service provided by an external company or organisation will you inform them that their data may be stored and processed outside UWTSD?	☐	☐	☒
9	Will you give participants the UWTSD Privacy Notice for Research?	☒	☐	☐
If you have answered NO to any of questions M1-M9, please provide justification detailing why this is necessary for the research.				
10	All applicable items are answered YES. Question M8 is N/A because participants will not be required to register for an external service. Where an approved non-UK digital platform becomes unavoidable for access in China, it will not be used for research recording or storage until UWTSD data-protection review is complete and the Participant Information Sheet has been updated.			
Informed consent: Describe the arrangements to inform potential participants, before providing consent, of what is involved in participating. Describe the arrangements for participants to provide full consent before the research begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded.				
11	Potential participants will receive a bilingual information sheet and the UWTSD Research Privacy Notice before deciding. The sheet explains purpose, activities, duration, voluntary participation, recording, foreseeable risks, data processing, cross-border transfer, media/artwork options, confidentiality, withdrawal and contacts. Written or secure electronic consent will be obtained before data collection. Consent is modular: participation; audio; observation; quotations; photographs/video; identifiable voice; participant-created works; named attribution; public exhibition/online use; and transfer from China to UWTSD. Consent will be revisited if a contribution changes form or visibility. UWTSD's UK-law basis for research processing is public task; consent remains the ethical basis for participation and is obtained separately where PRC law requires it, including separate consent for relevant overseas transfer.			
Confidentiality: Confidential information refers to information that can be related to an identifiable individual, whether living or deceased, which is not in the public domain and which is given with the expectation that it will be kept confidential. Under Common Law when an individual entrusts a researcher or research team with confidential information, the team must handle this in line with 'reasonable expectations'. In other words, confidential information should only normally be shared when there would be 'no surprises' for the individuals concerned. Where participants would not expect the researcher to be sharing their confidential information with others, researchers can manage their expectations by informing them of their intentions (e.g. in the participant information sheet or during discussions about participation) and asking them if they are happy with these plans. They should understand what is being proposed and what this might mean for them, before they decide whether the researcher can share their confidential information with others.				

Please detail how you will treat confidential information:

12	Interviews will be conducted privately or through a UWTSD-approved platform. Identifiers will be separated from research files, access will be limited to the researcher and authorised supervisors/processors, and institutions will not be told who declined or withdrew. Reports will use pseudonyms and may generalise roles or locations. Named professional attribution and identifiable media are optional. Group activities will use confidentiality ground rules, while explaining that the researcher cannot guarantee what other participants repeat. Confidentiality may be limited only where law or University policy requires action, for example an immediate serious risk of harm; participants will be told this in advance. Any intended data sharing will be explained and separately agreed.
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Copies of the following materials accompany this application:

Attached in the Supporting Documents Pack: (1) Participant Information Sheet – professionals, English and Simplified Chinese; (2) Participant Information Sheet – residents/practice participants, English and Simplified Chinese; (3) modular Consent Form, English and Simplified Chinese; (4) bilingual recruitment invitation; (5) interview topic guides; (6) observation/workshop protocol; (7) media, voice and participant-created-work management schedule; (8) site/partner permission template and Site Activation Record; (9) withdrawal/debrief information. Also attached separately: full risk assessment and provisional Trusted Research and Innovation Checklist.

13	Sample information sheets and consent forms are available from the Doctoral College Portal.		
14	Consent form attached?	☒	☐

SECTION N: Research with Potential Military Application

1	Does your research have any potential military application?	YES	☐	NO	☒
2	Have you completed appendix 8?	YES	☐	NO	☒

SECTION O: Use of Artificial Intelligence Tools

Use of generative AI and other AI-based tools		YES	NO	N/A
There are a number of ethical issues relating to the use of generative AI and other AI-based tools, including data security, output bias, and output errors. In general you should assume that any generative AI or other AI-based tool that you pay to use is more secure and accurate than one which is free to use.				
Will the research use AI tools to do any of the following:				
1	Capture data?	☐	☒	☐
2	Generate and/or edit text?	☒	☐	☐
3	Generate graphics?	☒	☐	☐
4	Generate video?	☒	☐	☐
5	Generate sound/music?	☒	☐	☐
6	Generate code?	☐	☒	☐
7	Generate synthetic data?	☐	☒	☐
8	Analyse data?	☐	☒	☐

9	Analyse personal or sensitive data?	☐	☒	☐
10	Classify data?	☐	☒	☐
11	Do you intend to use the free version of any AI tools?	☐	☒	☐

If you have answered **YES** to any of questions O1-O11, please provide justification detailing why this is necessary for the research.

12	State which AI tool or tools you will be using, and where they are based (or store their data): AI is not required for recruitment, data capture, transcription, analysis, classification or decision-making. The UWTSD-managed version of Microsoft Copilot may be used only for non-confidential administrative support, language checking, formatting or editing of text that contains no participant information, unpublished interview material, partner-confidential information or sensitive institutional data. No public/free AI tool will receive research data. AI outputs will not be treated as evidence; the researcher will verify, rewrite and log any material use in line with current UWTSD guidance. Any proposed future use of AI on research data would require prior supervisory, ethics and data-protection review.
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Section P: Research Data Management Plan

1	Data Summary
Data will include contact/consent records; interview audio and transcripts; participant-checked summaries; fieldnotes and reflexive journals; observation, decision, refusal and continuation-review records; optional photographs, video and voice; participant-created works; short feedback forms; case matrices; policy/project documents; and contextual metadata in English and/or Mandarin. Historic merchant conversations, notes or recordings are not doctoral evidence and will not be quoted or analysed without fresh consent and approval. Separate classroom/method exercises are excluded.	
2	Responsibilities
UWTSD is the data controller and uses public task as the UK lawful basis for research processing; ethical agreement to participate remains separate. The researcher manages collection, documentation, pseudonymisation, security, access, retention and deletion under supervisory oversight. Chinese host organisations are gatekeepers/hosts unless a written agreement assigns a different role. They receive no participant list, identity key or raw data. Any translator, transcriber or processor will be approved, contractually bound, given minimum access and required to delete working copies. A data-sharing agreement is required before any exchange of pseudonymised or personal data.	
3	Assessment of existing data
Existing sources will include published scholarship, official cultural-policy and legal documents, public institutional reports, websites, evaluation materials, exhibition texts, photographs and archival records. Copyright and terms of access will be respected. Existing material cannot adequately explain informal decision-making, hidden labour, maintenance, resident experience, non-participation or project afterlife; these gaps justify interviews, observation and practice-led testing. No confidential organisational dataset will be accessed without explicit permission and a separate data-sharing arrangement.	
4	Management and curation of data
Each case and participant will receive a coded identifier. A file plan, data inventory, consent-status register, version log, bilingual translation log and destruction schedule will be maintained. Identifiers and contact details will be stored separately from research data. Standard file names and non-proprietary formats will be used where practical. Transcripts will distinguish verbatim speech, translation and researcher notes. Media and participant-created works will carry rights, attribution and permitted-use metadata. UK comparative case materials, China interview/fieldwork materials and China practice materials will be stored in logically separate folders with role-based access controls.	
5	Quality assurance of data
Before each session the researcher will confirm consent, test equipment and record date, location, language and file provenance. Audio will be checked against transcripts; Mandarin-to-English quotations will be checked against the source and, where high risk, reviewed with the participant or an approved bilingual reviewer. Data entry and coding will be checked through version control, analytic memos and an audit trail. Triangulation across interviews, observation and documents, plus attention to negative cases, will reduce over-reliance on a single account. Sampling and saturation decisions will be documented as analytic sufficiency rather	

than numerical completeness.

6 Short-term data storage

During China fieldwork, data will be stored only on an encrypted, password-protected University-approved laptop and encrypted recorder. Research files will not be stored in WeChat, QQ, personal email, personal cloud services or unapproved Chinese/overseas platforms. If lawful access to UWTSD-managed storage is unavailable, data will remain encrypted offline and be transferred only through an approved route at the earliest lawful opportunity; the researcher will not use unauthorised circumvention tools. Recordings will be deleted from devices after verified transfer. Paper consent will be locked and scanned to restricted storage. Any loss or breach will be reported immediately to the current UWTSD Data Protection Officer and managed under the breach procedure.

7 Long-term data storage and preservation

Contact details and the identity key will be destroyed when follow-up and withdrawal are complete. Raw audio will normally be deleted within six months of verified transcription and the withdrawal window. Identifiable media will be retained only for the specific period and uses selected by the participant. Consent and licence records will be held separately for audit according to the University schedule. Pseudonymised/anonymised data supporting publications will be retained for at least ten years after publication under UWTSD policy. Only fully anonymised, low-disclosure-risk material may be deposited openly; small-network or disclosive material will remain closed or be represented by non-disclosive summaries.

8 Documentation and metadata

A README, data dictionary/codebook, case and participant ID scheme, file inventory, collection dates, language/translation status, consent permissions, processing history, analytic framework, software/version information, rights statement, restrictions and deletion/retention dates will accompany the data. Each image, sound file and participant-created work will include creator, date, site, consent status, attribution choice and permitted uses. Documentation will record limitations, missing perspectives and differences between UK comparative cases and China fieldwork/practice, so that the research record can be understood without implying that evidence transfers unchanged between contexts.

9 Data sharing

Raw audio, full transcripts, contact details, identity keys and unredacted media will not be shared. Publications may contain anonymised quotations, aggregated findings and separately consented images/works. Any transfer of personal information from China to the UK will be minimised and, wherever possible, anonymised before transfer. No exemption will be presumed: UWTSD data-protection review, participant information/any required separate consent, and a written determination of the applicable Chinese cross-border route will precede transfer. If a lawful route cannot be confirmed, personal data will remain in an approved China arrangement or will not be collected; only anonymous summaries may be exported.

10 Copyright and intellectual property ownership

Subject to UWTSD policy and third-party rights, research data and original scholarly/practice outputs created by the student will remain the student's intellectual property. Participants retain copyright and moral rights in their original artworks, photographs, sound or texts unless a separate written agreement states otherwise. The consent form grants only a non-exclusive, purpose-limited licence for the uses selected by the participant. Host organisations retain rights in their pre-existing materials. Collaboration agreements will address attribution, licences, publication independence, data ownership, permitted use, withdrawal and post-project custody before work begins.

11 Resources

The research is self-funded. The researcher will meet ordinary travel, accommodation, recording, printing, transcription/translation and low-cost practice-material expenses, subject to affordability and University travel approval. UWTSD-managed storage and standard software will be used, so no unusual long-term storage cost is expected. No funds will be transferred to an overseas partner under the current plan. External organisations may provide in-kind access, a venue or staff liaison, but this creates no entitlement to raw data or control over publication. Any future grant, participant payment, partner payment or material change in resources will be reported and, where necessary, submitted as an amendment.

SECTION Q: Risk Assessment

Outline any anticipated risks that may adversely affect any of the participants, the researchers and/or the University, and the steps that will be taken to address them.

If you have completed a full risk assessment (for example as required by a laboratory, or external research collaborator) you may append that to this form.

1	Full risk assessment completed and appended?	YES ☒	NO ☐
Risks to participants, researchers, and the University			
2	Social risks: <i>disclosures that could affect participants standing in the community, in their family and their job.</i>	YES ☒	NO ☐
Risk: Participants may be identifiable within small arts/cultural networks, and critical comments could affect workplace or community relationships. Gatekeeper recruitment could create perceived pressure. Residents may feel that their local knowledge is used without influence over the final form. Non-participation may be misread as lack of interest.		Mitigation: Use neutral opt-in recruitment; gatekeepers only circulate invitations. State that participation/withdrawal has no effect on employment, study, funding or services. Conduct private interviews; use pseudonyms and generalise site/role details; seek quote confirmation for high-risk passages; do not share participant lists or raw data with institutions. Record who holds decision-making power and treat non-participation as analytically relevant without identifying individuals.	
3	Legal risks: <i>activities that could result in the participant, researchers and / or University committing an offence; activities that might lead to a participant disclosing criminal activity to a researcher which would necessitate reporting to enforcement authorities; activities that could result in a civil claim for compensation</i>	YES ☒	NO ☐
Risk: Potential legal risks include recording or photographing without valid permission; breach of confidentiality, copyright, portrait/privacy rights or data-protection law; defamatory reporting; unlawful cross-border transfer; accidental collection of confidential government, commercial, security or illegal-activity information; and non-compliance with local site rules in China.		Mitigation: Obtain UWTSD approval, written site permission and informed, granular consent before recording. Comply with UK GDPR/DPA and applicable PRC personal-information, data-security, copyright, privacy and cross-border rules. Complete a DPIA/data-transfer review with UWTSD DPO/INSPIRE before China data leaves the country. Do not ask about illegal acts, state secrets, national security or confidential operations. Avoid restricted sites and sensitive photography. Seek University/legal advice immediately if an unexpected disclosure or legal concern arises.	
4	Economic harm: <i>financial harm to participant, researcher and / or University through disclosure or other event.</i>	YES ☒	NO ☐
Risk: Participation may take professional or resident time and, for self-employed people, may carry a small opportunity cost. The self-funded researcher faces travel, equipment-loss and cancellation costs. A data breach or contractual dispute could cause financial consequences.		Mitigation: Keep interviews normally to 45–60 minutes, schedule flexibly, offer online participation and explain the time commitment. No payment is currently planned and participation will not require purchase or travel; any future reimbursement scheme requires approval. Use insured travel/equipment, carry minimal valuables and maintain secure backups. Use written permission and collaboration terms. No overseas partner will receive project funds under the present plan.	
5	Reputational risk: <i>damage to public perception of University or the University / researchers' reputation in the eyes of funders, the research community and / or the general public.</i>	YES ☒	NO ☐
Risk: Misrepresentation of a person, institution or Chinese context could damage participants, partners, the researcher or UWTSD. A commercial or institutional partner may seek favourable reporting, branding or control. Publication of critical findings may strain access relationships.		Mitigation: Use accurate, evidenced reporting, reflexive notes and cross-case triangulation. Distinguish participant views from researcher interpretation. Offer factual/quotation checking without granting editorial veto. Collaboration agreements will protect academic independence and prohibit partner control of findings or reuse of participant material for branding without separate permission. Sensitive institutions may be described at a higher level of generality. Supervisory review will precede high-risk dissemination.	
6	Safeguarding risks: <i>Risk to young people, vulnerable adults and / or researcher from improper behaviour, abuse or exploitation. Risk to researcher of being in a compromising situation, in which there might be accusations of improper behaviour.</i>	YES ☐	NO ☒
Risk: No children, adults lacking capacity or participants selected because of vulnerability will be recruited. Situational vulnerability may still arise through power		Mitigation: Adult-only eligibility and capacity to consent will be confirmed. The researcher will pause or stop participation if voluntary consent is doubtful, offer breaks or withdrawal, and seek	

imbalance, insecure employment, community conflict or distress.		supervisory advice. Any proposal to include a protected/vulnerable group requires a separate ethics amendment and, where applicable, safeguarding checks.	
7	Sensitive, embarrassing or upsetting topics. <i>If research activity may include sensitive, embarrassing or upsetting topics or issues likely to disclose information requiring further action (e.g. criminal activity), give details of the procedures to deal with these issues, including any support/advice (e.g. helpline numbers) to be offered to participants. Note that where applicable, consent procedures should make it clear that if something potentially or actually illegal is discovered in the course of a project, it may need to be disclosed to the proper authorities.</i>	YES	NO
		☒	☐
Mitigation: Information sheets flag potentially uncomfortable topics. Participants may skip questions, pause or stop without explanation. The interviewer will not probe trauma or illegal activity and will stop if distress appears. Confidentiality limits are stated. Relevant local or University support information will be offered where appropriate. The researcher will schedule breaks, avoid excessive consecutive interviews, debrief with supervisors and use UWTSD wellbeing support if needed.			
Health and safety risks			
8	Location hazards: <i>for example: fire; visiting or working in participant's homes; working in remote locations and in high crime areas; overseas travel; hot, cold or extreme weather conditions; working on or by water. Also hazardous work locations, such as construction sites, confined spaces, roofs or laboratories. For overseas travel, researchers will need to check country / city specific information, travel health requirements and consider emergency arrangements as part of their research planning. In all cases the University's International Travel Policy must be followed.</i>	YES	NO
		☒	☐
Risk: Fieldwork involves overseas travel, unfamiliar public/cultural venues, traffic, crowds, weather, fire safety, possible restricted or politically sensitive areas, lone meetings and variable communications. China-specific risks include broad national-security laws, surveillance, restrictions on photography/recording and changing local sensitivities.		Mitigation: Complete a site-specific and international-travel risk assessment, obtain UWTSD travel approval and suitable insurance, monitor current official advice, register itinerary/check-ins, carry emergency contacts and use reputable accommodation/transport. Meet in public or institutional venues during normal hours; no participant homes, night-time lone fieldwork, demonstrations, restricted military/security sites, Xinjiang/Tibet/border-sensitive work or unapproved photography. Follow host and local-authority instructions and suspend activity if conditions change.	
9	Activity hazards: <i>for example: potentially mentally harmful activities; distressing and stressful work and content; driving; tripping or slipping; falling from height; physically demanding work; lifting, carrying, pushing and pulling loads; night time and weekend working.</i>	YES	NO
		☒	☐
Risk: Activities may involve walking, standing, carrying lightweight display materials, use of steps/stairs, slips/trips, repetitive computer work, long journeys and researcher fatigue. Public events may have unpredictable crowd flow.		Mitigation: Use accessible, risk-assessed venues; keep routes optional and avoid unsafe weather/terrain; conduct a pre-event walk-through; keep exits clear; use only lightweight materials; do not work at height; follow manual-handling and ergonomic guidance; schedule rest; limit session length and participant numbers; identify the venue first aider and incident procedure. Any materially more hazardous installation requires a new risk assessment and ethics amendment.	
10	Machinery and equipment: <i>for example: ergonomic hazards, including computer workstations and equipment; contact with electricity; contact with moving, rotating, ejecting or cutting parts in machinery and instruments; accidental release of energy from machines and instruments.</i>	YES	NO
		☐	☒
Risk: No hazardous machinery is planned. Standard laptops, recorders, cameras, projectors, printers and low-voltage display equipment may be used.		Mitigation: Use University/venue-approved and visually checked equipment; follow PAT/electrical and workstation guidance; keep cables covered and away from routes; obtain technician approval for projection or installation; do not allow participants to use machinery. Any workshop involving cutting, fabrication or specialist equipment requires separate approval.	
11	Chemicals and other hazardous substances: <i>the use, production, storage, waste, transportation and accidental release of chemicals and hazardous substances; flammable, dangerous and explosive substances; asphyxiating gases; allergens; biological agents, blood and blood products.</i>	YES	NO
		☐	☒

Risk: No hazardous chemicals, biological agents, blood products, flammable or explosive substances will be used. Only ordinary, non-toxic art and office materials are anticipated.		Mitigation: Use manufacturer-labelled, low-toxicity materials in small quantities; check allergies where relevant; provide ventilation and handwashing; follow venue COSHH requirements if any material changes. Hazardous substances would require a separate assessment and amendment.	
12	Physical agents: for example: excessive noise exposure, hand-arm vibration and whole body vibration; ionising radiation; lasers; artificial optical radiation and electromagnetic fields	YES ☐	NO ☒
Risk: No ionising radiation, lasers, excessive vibration, artificial optical radiation or other hazardous physical agents are planned. Ordinary amplified sound/projection may be used at low public-event levels.		Mitigation: Follow venue limits and technician instructions; keep sound at comfortable levels and offer quiet/exit options. Any new physical-agent exposure requires specialist risk assessment and amendment.	
13	Environmental risks: for example: accidental spillage of pollutants, damage to local ecosystems	YES ☐	NO ☒
Risk: The project is not designed to alter habitats or protected environments. Site walks and temporary, low-impact practice activities could cause minor waste or disturbance if poorly managed.		Mitigation: Use existing paths and permitted public/cultural spaces; obtain site permission; use reusable/recyclable low-impact materials; remove all temporary work and waste; avoid protected habitats, water sampling and ecological intervention. Any environmental intervention requires separate permission, assessment and amendment.	

SECTION R: Disclosure and Barring Service

Disclosure and Barring Service				
1	If the research activity involves children or vulnerable adults, a Disclosure and Barring Service (DBS) certificate must be obtained before any contact with such participants.	YES	NO	N/A
	Does your research require you to hold a current DBS Certificate?	☐	☐	☒
2	If YES, please give the certificate number. If the certificate number is not available please write "Pending"; in this case any ethical approval will be subject to providing the appropriate certificate number.	N/A – the approved participant population is adults aged 18+ with capacity to consent, and no regulated activity with children or vulnerable adults is planned.		

SECTION S: Declaration

The information which I have provided is correct and complete to the best of my knowledge. I have attempted to identify any risks and issues related to the research activity and acknowledge my obligations and the rights of the participants.

In submitting this application I hereby confirm that I undertake to ensure that the above named research activity will meet the University's Research Ethics and Integrity Policy which is published on the website: <https://www.uwtsd.ac.uk/research/research-ethics/>

1	Name of applicant	Linna Chen
2	Electronic or written signature of applicant:	Linna Chen

3	Date	10.08.2026
4	Name of Director of Studies	Timi O'Neill
5	Electronic or written signature of Director of Studies:	Timi O'Neill
6	Date	

Checklist: Please complete the checklist below to ensure that you have completed the form according to the guidelines and attached any required documentation:

1	☒	I have read the guidance notes supplied before completing the form.
2	☒	I have completed all relevant sections of the form in full.
3	☒	I have attached a copy of the Participant Information Sheet (PIS) or Consent Form
4	☒	I have attached a completed copy of the Trusted Research and Innovation Checklist (where applicable)
5	☒	I have attached a full risk assessment (where appropriate)
6	☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Ethics and Integrity Code of Practice
7	☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Data Management Policy
8	☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Research Export Control Policy
9	☒	I understand that it is my responsibility to ensure that the above named research activity will meet the University's Open Access Research Policy
10	I have completed the following appendices:	1 ☐
		2 ☒
		3 ☒
		4 ☐
		5 ☐
		6 ☐
		7 ☐
		8 ☐

All communications relating to this application during its processing must be in writing and emailed to pgresearch@uwtsd.ac.uk, with the title 'Ethical Approval' followed by your name.

APPENDIX 1 – Grant or Contract Funding

A1.1	Has your research been awarded external funding?	YES	☐	NO	☒
A1.2	Have you applied for funding / awaiting decision?	YES	☐	NO	☒
A1.3	Are you intending to apply for funding?	YES	☐	NO	☒
A1.4	Funding Body	N/A – self-funded doctoral research			
A1.5	Lead institution (grant holder)	N/A			
A1.6	If awarded, grant reference	N/A			
A1.7	If awarded, grant value	N/A			
A1.8	If awarded, start date and duration	Self-funded at present. External grants, in-kind venue access, equipment loans, participant reimbursement or partner payments may be considered later, but none will be accepted or promised until conflicts, due diligence, funding terms, participant influence and publication independence are reviewed. Any material funding change will be declared and submitted as an amendment where required.			

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APPENDIX 2: External Collaborative Research Activity

INSTITUTION 1				
A2.1	Name	Provisional UK comparative case-study organisation – exact organisation to be confirmed		
A2.2	Researcher name and position			
A2.3	Role in project (e.g. co-investigator)	Comparative case-study host/gatekeeper: provide access to public documents, professional interviewees and/or existing-project observation; circulate neutral invitations where appropriate; identify site-safety requirements and nominate a liaison. The UK partner will not host the doctoral practice intervention, will have no access to raw data, will not select participants on the researcher's behalf, and will not control analysis or publication.		
A2.4	Contact e-mail address			
A2.5	External Ethical Approval <i>Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.</i>	Obtained?	YES	NO
			☐	☐
		PENDING. UWTSD approval covers the defined protocol, but written site permission and any organisation-specific ethics/management approval must be supplied before site activation. If the organisation becomes a formal research collaborator, responsibilities will be recorded in a collaboration/data-sharing agreement.		

INSTITUTION 2				
A2.6	Name	Provisional principal China practice host in Wuhan, Hubei - exact legal entity, organisation type, site and registration/authority to be confirmed. Alternative/additional approved hosts may be located in Shanghai, Xi'an/Shaanxi or another mainland China city.		
A2.7	Researcher name and position			
A2.8	Role in project (e.g. co-investigator)	Potential overseas host/gatekeeper and cultural adviser: support lawful site access, distribute invitations without disclosing personal details, advise on local permissions and site safety, and facilitate practical communication. No raw-data access, participant-list access or publication veto.		
A2.9	Contact e-mail address			
A2.10	External Ethical Approval <i>Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.</i>	Obtained?	YES	NO
			☐	☐
		PENDING. Before activation the host must provide written site permission, identify the person authorised to approve access, determine whether local institutional/technology-ethics review applies, and assist with a written determination under the Measures for Administration of Foreign-Related Surveys. If licensing or project approval is required, the research will proceed only through an appropriately qualified institution and approved route. UWTSD ethics approval does not replace Chinese legal or institutional permissions.		

INSTITUTION 3		
A2.11	Name	Provisional additional China comparative case or practice-support organisation - Shanghai, Xi'an/Shaanxi or another approved city; exact organisation and role to be confirmed.
A2.12	Researcher name and position	
A2.13	Role in project (e.g. co-investigator)	Potential overseas host/gatekeeper and cultural adviser under the same restricted role described above. The organisation may offer in-kind access or a venue but will not receive funds under the current self-funded plan.



A2.14	Contact e-mail address				
A2.15	External Ethical Approval <i>Please detail the ethical approval required and arrangements for this partner. See Section 14 of the UWTSD Research Ethics and Integrity Policy. If approved, please supply confirmation.</i>	Obtained?	YES	NO	PENDING
			☐	☐	☒
		PENDING. The same site activation, foreign-related-survey, local ethics/administrative permission, data, travel and partner due-diligence controls apply. No recruitment or data collection will begin on the basis of an informal invitation alone.			

Add additional collaborators as needed

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APPENDIX 3: Research Undertaken Outside of the UK

A3.1	Research activity outside of the UK If research activity will take place overseas, you are responsible for ensuring that local ethical considerations are complied with and that the relevant permissions are sought. Specify any local guidelines (e.g. from local professional associations/learned societies/universities) that exist and whether these involve any ethical stipulations beyond those usual in the UK (provide details of any licenses or permissions required). Also specify whether there are any specific ethical issues raised by the local context in which the research activity is taking place, for example, particular cultural and/or legal sensitivities or vulnerabilities of participants. Describe the measures you have taken to comply with these and provide evidence of approvals etc. If you live in the country where you will do the research then please state this. If you have a local research supervisor or research advisor then please give their contact details here.
	Country and provisional locations: People's Republic of China, with primary fieldwork and all final practice implementation proposed in Wuhan/Hubei, Wuhan/Hubei, Wuhan/Hubei, Shanghai and Xi'an/Shaanxi. Beijing may be used for limited professional/documentary interviews if justified. Exact institutions and local contacts are not yet confirmed. Potential institution types are museums/art museums, community cultural centres, non-profit arts organisations, universities, local cultural authorities and commercial cultural organisations. Before any site is activated, the researcher will insert the organisation name, registration/legal status, named local contact, written permission, local ethics/administrative requirements and emergency arrangements into a Site Activation Record and Appendix 2. Activities: adult interviews with artists, curators, arts/cultural managers, educators, technical/maintenance staff, relevant public-cultural/local-authority staff and residents; consented observation; document analysis; and, where specifically approved, one or more low-risk, site-specific participatory public-art practice cycles. All researcher-led practice implementation and resident practice recruitment will take place in China. No children or adults lacking capacity will be recruited. Local legal and ethical framework: the researcher will comply with the PRC Personal Information Protection Law, Data Security Law, applicable cybersecurity and network-data rules, CAC cross-border data-flow requirements, Civil Code protections for privacy, personal information and portrait rights, Copyright Law, venue rules and any host-institution review. Separate and informed consent will be obtained for identifiable image, voice or work; named attribution; and any relevant transfer to UWTSD. The study will not seek state secrets, important data, confidential government/commercial information, illegal-activity evidence or national-security information. Data collection will be minimised and pseudonymised before overseas transfer where possible. A UWTSD DPO/INSPIRE review and any required agreement will be completed before identifiable or pseudonymised personal data are transferred from China to the UK. If transfer is not lawful or approved, analysis will take place locally and only anonymised summaries will leave China, or the data will not be collected. Cultural sensitivity: questions will focus on public-art practice, management, institutional support, maintenance and participant experience. They will not solicit political opinions, protest activity, religion/ethnicity, criminal conduct or security-sensitive information. Recruitment and consent materials will be bilingual. The researcher is Chinese-speaking and culturally familiar with the context, but will not assume that this removes power differences. Host advice will be considered without allowing the host to pressure participants or control findings. Travel and safety: fieldwork is self-funded and will occur only after UWTSD international-travel approval, insurance, site-specific risk assessment, itinerary/check-in plan and current official travel/health review. The researcher will use reputable accommodation and licensed/public transport, meet during normal hours in institutional/public venues, avoid participant homes and lone night work, and avoid demonstrations, restricted military/security sites, politically sensitive gatherings and unapproved photography. Emergency numbers: police 110, fire 119, ambulance 120, traffic police 122. Local host contact, supervisor contact, insurer, UWTSD emergency procedure and appropriate consular contact will be recorded before departure. Researcher nationality/entry and consular arrangements.
A3.2	A completed provisional project-level Trusted Research and Innovation Checklist is attached. A partner-specific checklist and basic/full due diligence will be completed with INSPIRE when each overseas organisation is identified and before any agreement, data exchange, IT access or transfer of funds.
A3.3	Confirm that you have read the Trusted Research and Innovation Policy

If you are a postgraduate research student working with a research supervisor or research advisor at your local university then you do not need to fill in any more sections of this appendix.

If you are working in a research collaboration with an overseas partner please complete the remaining sections of this appendix.

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Organisational Details	
A3.4	Name of Organisation
Provisional China host institution(s) in Wuhan/Hubei, Wuhan/Hubei, Shanghai and Xi'an/Shaanxi – exact names to be confirmed before fieldwork activation.	
A3.5	Country where organisation is based:
People's Republic of China	
A3.6	Registration number and name of registration body (examples of relevant registration bodies are government, tax, corporation, charity, educational authority):
No collaboration will be activated until basic due diligence has verified legal identity and status with INSPIRE.	
A3.7	What is the legal status of the organisation? (for example: public university, private university, charity, private company, non-profit making company, government research organisation, independent research organisation) Please include the date of foundation. Note: We may be required to ask for evidence of this at a later stage.
Confirm public cultural institution, public/private university, registered non-profit/social organisation, public body or private company; date of foundation and evidence to be supplied].	
A3.8	Is your organisation affiliated to any other organisation? (i.e. is the organisation legally part of a larger organisation or a group of larger organisations).
[PARTNER TO CONFIRM: parent body, government department, university group, company group or other affiliation].	
A3.9	Name(s) of investigators in the organisation who will be responsible for the collaborative research and innovation

About New Partners			
A3.10	Why does a partner want to work with you?		
Anticipated reasons are knowledge exchange, improved understanding of public-art management and aftercare, and participation in an international doctoral case study. The partner's actual reasons and authority to collaborate will be confirmed in writing and tested through due diligence; no assumption of benefit will be made.			
A3.11	What are they expecting in return for their financial support or involvement?		
Expected return is limited to acknowledgement, an accessible project summary and, if mutually agreed, a non-confidential knowledge-exchange discussion. No payment, raw participant data, access to UWTSD systems, exclusive IP, control of recruitment, editorial approval or positive publicity is promised. Any in-kind support will be documented.			
A3.12	Is the organisation associated with a country which may be viewed as hostile to the UK or one which has different democratic and ethical values from our own? If you have ticked YES, please briefly describe below how you will maintain the UK's democratic and ethical values within the research.	YES	NO
		☐	☒
NO on current project-level information. This is not a general judgement about a country, and no overseas partner has yet been selected. The proposed fieldwork will operate in a different political, legal and ethical framework, so partner-specific due diligence is still mandatory. UWTSD values will be protected through voluntary consent, non-discrimination, privacy, participant withdrawal, academic independence, no partner control of findings, and suspension of activity where lawful and ethical practice cannot be secured.			

A3.13	Has due diligence into the partner identified any involvement in research on behalf of the military or police with links to a hostile state? If you have ticked YES, please summarise below how you will prevent information from this research from being released to these organisations.	YES	NO
		☐	☒
No such involvement is known because no partner has yet been selected. This answer is provisional. INSPIRE-supported due diligence will check ownership, affiliations and any military/police links before activation. A concerning link will trigger full due diligence, risk review and possible refusal to collaborate.			
A3.14	Set within the context of any information gained from due diligence, could your research be misused or have unintended applications which would be negative? If you have ticked YES, please summarise below how this might occur.	YES	NO
		☒	☐
Low but foreseeable misuse includes identification of critical participants, institutional surveillance, unauthorised branding, selective use of findings, or transfer of participant media beyond agreed purposes. Controls are data minimisation, pseudonymisation, no raw-data sharing, purpose-limited licences, publication independence, separate media consent, restricted access and partner termination clauses.			
A3.15	Are there any legal, regulatory or university policy constraints on undertaking your research with this partner? If you have ticked YES, please summarise these below.	YES	NO
		☒	☐
YES. Constraints include UK GDPR/DPA, UWTSD ethics/RDM/TR&I policies, PRC personal-information and data-security law, cross-border-transfer requirements, copyright/privacy/portrait rights, site recording rules, any host ethics/administrative review, and travel/security restrictions. No work begins until these are resolved and documented.			
A3.16	Having considered the answers to questions A3.10-A3.15, are there potential reputational or ethical risks to you or the university? If you have ticked YES, please summarise these risks below.	YES	NO
		☒	☐
Potential risks are participant or institutional identification, perceived endorsement of a partner, cultural misrepresentation, political/security sensitivity, partner influence over recruitment or publication, and unlawful data transfer. Mitigation includes partner due diligence, written role boundaries, site activation, pseudonymisation, neutral recruitment, supervisory review, no partner veto, and suspension where safe lawful practice cannot be guaranteed.			

About Research Relationships		YES	NO
A3.17	Are the terms of any proposed Memorandum of Understanding (MoU) in keeping with the expectations of your department and university?	☒	☐
	YES, conditionally. No MoU has yet been signed. Any MoU/collaboration agreement will be reviewed through UWTSD/INSPIRE and will cover roles, local permission, ethics, academic freedom, data, confidentiality, IP, publication, media use, liability, breach notification, termination and no transfer of funds unless separately approved.		
A3.18	Are you providing existing intellectual property (IP), research data, confidential or personally identifiable data to the project? If so, how is this going to be protected?	☐	☒
	NO. No existing confidential, personal or unpublished research data will be provided to a partner. Public research summaries and the approved protocol may be shared. Any exceptional data exchange requires a specific agreement, minimum-access principle, lawful basis, encryption and UWTSD review.		

A3.19	Who will own any IP that is generated?
Student-generated research data and original outputs will be owned by the student subject to UWTSD policy and any approved agreement. Participants retain rights in original contributions/works and grant only the selected non-exclusive licence. Partners retain pre-existing IP. Jointly created material will require a written allocation before use.	
A3.20	What plans do you have in place for protecting the resulting IP?
Use written consent/licences, attribution records, versioned documentation, secure storage, publication independence, and collaboration clauses preventing unauthorised reproduction, commercial use or transfer. No partner may use participant media for publicity without separate participant permission.	
A3.21	What contractual requirements are you able to put in place to protect the interests of your academic institutions?
A UWTSD-reviewed agreement may include confidentiality, data protection, cross-border transfer, data-breach reporting, IP/background IP, attribution, permitted use, academic freedom, publication rights, no raw-data access, records retention/deletion, liability, dispute resolution, termination, governing law and compliance with ethics/site permissions.	
A3.22	What access will the research partner have to your IT network? If they do have access, what broader visibility might this provide?
None. Overseas partners will have no access to the UWTSD network, OneDrive/SharePoint, email account, identity key or research devices. They may receive only agreed non-confidential documents through approved channels. Any future IT access requires separate University authorisation and risk assessment.	
A3.23	Is there any physical separation or protection required between research in similar fields?
No specialist physical separation is required because the project is low-technology arts/social research. Identifiable consent/contact files will nevertheless be separated from research data; UK comparative case material will be separated from China fieldwork and practice material; and partner-supplied material will be separated according to access and licence conditions.	

About Existing Partners			
A3.24	Would proceeding with the research raise potential conflicts of interest with existing research partners? If you have ticked YES, please explain these conflicts below.	YES	NO
		☐	☒
No existing partner conflict is known. Partner selection and supervisory review will include a conflict-of-interest check.			
A3.25	Have you spoken with your existing partners about any potential conflict of interest? If you have ticked YES, please briefly summarise their response(s) below.	YES	NO
		☐	☒
N/A at present because no existing formal research partner has been activated. Any potential conflict identified later will be disclosed to the Director of Studies and INSPIRE before agreement.			
A3.26	Does any non-disclosure agreement for this project include an expectation that you will need to provide visibility to existing partners? If you have ticked YES, please explain below how this will be managed.	YES	NO
		☐	☒

No NDA is currently in place. Any future NDA must not prevent lawful ethics oversight, thesis examination or independent publication, and will be reviewed by UWTSD.

A3.27	Will this research breach any existing contractual agreements that you, your department or university already have? NO. No relevant existing contractual restriction is known. This will be rechecked before each partner is activated.	YES	NO
		☐	☒

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APPENDIX 4: Research with Vulnerable People

Will the research involve data processing involving the following data subjects:		YES	NO
A4.1	Children under 16	☐	☐
A4.2	Adults with learning disabilities	☐	☐
A4.3	Adults with other forms of mental incapacity or mental illness	☐	☐
A4.4	Adults in emergency situations	☐	☐
A4.5	Prisoners or young offenders	☐	☐
A4.6	Those who could be considered to have a particularly dependent relationship with the investigator, e.g. members of staff, students	☐	☐
A4.7	People who have not given their explicit consent to participate in the project	☐	☐
A4.8	People engaged in illegal activities	☐	☐
A4.9	Any other people who can be considered vulnerable in the context of this project	☐	☐
Please justify the inclusion of the above people (if applicable), explaining why the research cannot be conducted on non-vulnerable people.			
A4.10	(this box should expand as you type)		
Please give details of extra steps taken to assure the protection of vulnerable people participating in the research. You should describe any arrangements to be made for obtaining consent from a legal representative.			
A4.11	(this box should expand as you type)		
It is the researcher's responsibility to check whether a DBS check (or equivalent) is required and to obtain one if it is needed. Please confirm:			
A4.12	DBS Check required?	YES	NO
		☐	☐
A4.13	DBS certificate obtained?	YES	NO
		☐	☐
		N/A	☐

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APPENDIX 5: Research Involving Animals

The use of animals in research is tightly governed and monitored by law and by the Home Office, specifically under the Animals (Scientific Procedures) Act 1986 and its accompanying codes of practice and processes. The Act regulates procedures that are carried out on protected animals for scientific or educational purposes that may cause pain, suffering, distress or lasting harm. Under the Act, a protected animal is 'any living vertebrate, other than man, and any living cephalopod'. The University does not hold a Home Office issued Establishment Licence and therefore researchers must ensure that any proposed work involving animals is either exempt from the Act or falls outside of its scope. Exempted research, for example involving routine veterinary practice or clinical veterinary research, may still require external ethical approval from the Royal Society of Veterinary Surgeons. When undertaking collaborative research involving animals, the UWTSD Research Ethics Committee must be assured that the partner institution(s) conform to the appropriate regulatory framework or legislation, and have approval from their local Research Ethics Committee. Any such work must follow the guidance of the National Centre for the Replacement, Reduction and Refinement of Animals in Research, known as the 3Rs. In all cases, advice must be sought from INSPIRE for any proposed research involving animals, either at UWTSD, or by research collaborators in partnership with UWTSD. This should be at the very early stages of research design, so that an appropriate due diligence exercise can be undertaken.

Will the research involve any work with any of the following animals (including observation in their natural habitat)		YES	NO
A5.1	Any living vertebrates, other than humans?	☐	☐
A5.2	Any living cephalopods?	☐	☐
A5.3	Has INSPIRE undertaken an initial due diligence exercise?	☐	☐
A5.4	Due diligence assessment appended to this application?	☐	☐

Please provide a summary of the due diligence exercise, noting arrangements for compliance with the necessary regulatory frameworks and legislation. Please append the full due diligence assessment from INSPIRE.

A5.5	<i>(this box should expand as you type)</i>
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APPENDIX 6: Research with Staff or Offenders in Prison Establishments and Probation Services

Research with staff and/or offenders in prison establishments, the Probation Service or within His Majesty's Prison and Probation Services requires additional approvals.

Will the research involve any of the following?		YES	NO
A6.1	Staff in prison establishments	☐	☐
A6.2	Offenders in prison establishments	☐	☐
A6.3	The Probation Service	☐	☐
A6.4	His Majesty's Prison and Probation Services	☐	☐

All researchers wanting to conduct research with staff and/or offenders in prison establishments, the Probation Service regions or within HM Prison and Probation Service (HMPPS) Headquarters are required to formally apply for research approval to the HMPPS National Research Committee (NRC). Before doing so, INSPIRE must undertake an initial due diligence exercise. If you have not contacted INSPIRE, please do so immediately. If YES to any of the above, please confirm:

A6.5	Has INSPIRE undertaken an initial due diligence exercise?	☐	☐
A6.6	Have you applied to the HMPPS National Research Committee (NRC)?	☐	☐
A6.7	Has HMPPS National Research Committee approval been granted? If yes, please append to this application.	☐	☐
A6.8	Due diligence assessment appended to this application?	☐	☐

Please provide a summary of the due diligence exercise, noting arrangements for compliance with the necessary regulatory frameworks and legislation. Please append the full due diligence assessment from INSPIRE.

A6.9	<i>(this box should expand as you type)</i>
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APPENDIX 7: Health and Social Care Research

All health and social care research must have a sponsor as defined by the Health Research Authority UK Policy Framework for Health & Social Care. The University will under no circumstances act as the sponsor of health and social care research (i.e. that which requires approval by a NHS Research Ethics Committee). In all cases, therefore, an appropriate collaborating partner must lead the research. Any health and social care research therefore requires an initial due diligence exercise, which will be undertaken by INSPIRE. The purpose of the due diligence exercise is to ensure that the University has the capability to undertake the research, either independently or in collaboration with research partners. This will include advice on suitable collaborative arrangements and the appropriate involvement of UWTSD researchers in the proposed research study. This is likely to apply to the following areas:

Will the data processing involve:		YES	NO
A7.1	Participants who have been recruited on the basis of medical and health conditions, life stage or other physical or mental attribute.	☐	☐
A7.2	Participants who will engage in physical exercise, activity or exertion of any kind, or who use exercise equipment, assistive devices or other apparatus for the purposes of the research study. This includes interventions that are minimally invasive.	☐	☐
A7.3	Patients and users of the NHS (including NHS patients treated in the private sector).	☐	☐
A7.4	Individuals identified as potential participants because of their status as relatives or carers of patients and users of the NHS.	☐	☐
A7.5	Patients who are cared for in private and voluntary sector nursing homes.	☐	☐
A7.6	Confidential patient information.	☐	☐
A7.7	Clinical trial of a medicinal product or medical device.	☐	☐
A7.8	Access to organs or other bodily material of past and present NHS patients, or any material consisting of or containing human cells.	☐	☐
A7.9	Use of human tissue (including non-NHS sources) where the collection is not covered by a Human Tissue Authority licence.	☐	☐
A7.10	Foetal material and IVF involving NHS patients.	☐	☐
A7.11	The recently deceased under NHS care.	☐	☐
A7.12	NHS staff or premises.	☐	☐
A7.13	Practising midwives conducting a clinical trial.	☐	☐
A7.14	Investigational medicinal product.	☐	☐
A7.15	Medical devices that are not CE-marked or CE-marked medical devices that have been modified or are being used for a new purpose.	☐	☐
A7.16	Exposure to ionising radiation.	☐	☐
A7.17	Other health and social care related research.	☐	☐
Please specify Contact INSPIRE for support on this section.			

(this box should expand as you type)

Researchers proposing to work on projects involving health and social care research must check whether their study meets the HRA definition of research and whether it should undergo ethics review by a NHS Research Ethics Committee. If you have answered **YES** to any of questions A7.1-A7.17 then this is likely to be the case and sponsorship by a third party will be required. This can be checked via the Health Research Authority's Decision Tool : <https://www.hra-decisiontools.org.uk/research/>

A7.18	Does the research meet the HRA definition of research?	YES	NO	N/A
		☐	☐	☐
A7.19	Is the Research being sponsored by a collaborating partner?	YES	NO	N/A
		☐	☐	☐
A7.20	Has NHS ethics approval been granted?	YES	NO	N/A
		☐	☐	☐
A7.21	Has INSPIRE undertaken an initial due diligence exercise?	YES	NO	
		☐	☐	

Please provide a summary of the due diligence exercise, noting arrangements for compliance with the necessary regulatory frameworks and legislation. Please append the full due diligence assessment from INSPIRE. If you have not contacted INSPIRE, please do immediately.

A7.22	(this box should expand as you type)
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A7.23	Have you been granted NHS ethical approval?	YES	Click to continue to Section R	NO	Return to the main form
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APPENDIX 8: Export Control for Research with Potential Military End Uses

Export controls apply to the physical, electronic or oral transmission outside the UK of applied research, sensitive technology, software and equipment that could potentially be misused, either directly or indirectly, for military purposes. These legal controls are a serious obligation and UWTSD researchers must actively manage the risks of these being misused to fuel conflict, threaten national security, support terrorism and crime, violate human rights or proliferate Weapons of Mass Destruction. UWTSD's Export Control Policy provides a clear six step process to determine if your research is covered by export controls. Please complete the following screening to judge if you need to complete a full export control assessment. If you are in any doubt, then please contact INSPIRE. Any research in UWTSD involving the following high-risk areas must be screened.

Will the research involve:

Defence		YES	NO
A8.1	Military equipment and munitions	☐	☐
A8.2	Defence equipment, including satellites	☐	☐
A8.3	Technical data, including some border and port information	☐	☐
A8.4	Dual use research	☐	☐
Materials and Technologies		YES	NO
A8.5	Nuclear materials, facilities and equipment	☐	☐
A8.6	Chemicals, microorganisms and toxins	☐	☐
A8.7	Electronics design, development and production	☐	☐
A8.8	Computers	☐	☐
A8.9	Telecommunications	☐	☐
A8.10	Sensors and lasers	☐	☐
A8.11	Navigation and avionics	☐	☐
A8.12	Marine technology	☐	☐
A8.13	Composite materials	☐	☐
A8.14	Aerospace and propulsion	☐	☐
Sensitive Information		YES	NO
A8.15	Cryptology	☐	☐
A8.16	Counterterrorism	☐	☐
A8.17	Counternarcotics	☐	☐
A8.18	Cyber-related	☐	☐



A8.19	Non-proliferation	☐	☐
A8.20	Transnational criminal organisations	☐	☐

Genetic Resources		YES	NO
A8.21	Genetic material of actual or potential value	☐	☐
A8.22	Organisms, or parts thereof	☐	☐
A8.23	Populations (or organisms)	☐	☐
A8.24	Other biotic components of ecosystems	☐	☐
A8.25	Domesticated or cultivated species in which the evolutionary process has been influenced by humans	☐	☐

Will you be exporting military or dual-use technology, now or possibly in the future? This information may take many forms, including:		YES	NO
A8.26	Physical transfer of goods, technologies, material or equipment	☐	☐
A8.27	Blueprints	☐	☐
A8.28	Plans	☐	☐
A8.29	Diagrams	☐	☐
A8.30	Models	☐	☐
A8.31	Formulae	☐	☐
A8.32	Tables	☐	☐
A8.33	Engineering designs and specifications	☐	☐
A8.34	Manuals and instructions	☐	☐
A8.35	Software	☐	☐
A8.36	Know-how	☐	☐

Will your project transfer technology using any of the following physical methods?		YES	NO
A8.37	USB flash drives	☐	☐
A8.38	Portable hard drives	☐	☐
A8.39	Laptops	☐	☐
A8.40	Tablets	☐	☐
A8.41	Intangible forms by using electronic media, such as email, phone storage and cloud file sharing	☐	☐
A8.42	Physical exports	☐	☐

Will your project involve any of the following?		YES	NO
A8.43	Oral transfer by phone or videoconferencing or presentations	☐	☐
A8.44	Travelling overseas for any purpose, while unintentionally carrying any of the above.	☐	☐
A8.45	Will you be hosting foreign visitors?	☐	☐



If you answer YES to any of questions A8,1-A8.45 then you should complete a full export control assessment and append that to this application. Before doing this please contact INSPIRE who will advise further.		YES	NO
A8.46	Full export control assessment required?	☐	☐
A8.47	Full export control assessment completed?	☐	☐
A8.48	Full export control assessment appended?	☐	☐

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