

APPLICATION FOR ETHICAL APPROVAL

Location of research activity Identify all locations where research activity will take place.		
All research activities will be conducted in Hong Kong. (this box should expand as you type)		
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.		
All research activities will be compliance with the Law of Hong Kong, especially the Hong Kong Personal Data (Privacy) Ordinance. All data will also be collected after obtaining consent from the participants. All data collected will be kept safe in a designated computer with password protection. It will only be accessed by the researcher himself, or by the Supervisor and the Director of Studies when necessary. Backup will be made monthly on encrypted and password protected external media and stored securely. (this box should expand as you type)		
Use of documentation not in the public domain: Are any documents NOT publicly available?	NO YES	☒ ☐
If Yes, please provide details here of how you will gain access to specific documentation that is not in the public domain and that this is in accordance with prevailing data protection law of the country in question and England and Wales. (this box should expand as you type)		

SECTION F: Scope of Research Activity

Will the research activity include:	YES	NO
Use of a questionnaire or similar research instrument?	☒	☐
Use of interviews?	☒	☐
Use of diaries?	☐	☒
Participant observation with their knowledge?	☐	☒
Participant observation without their knowledge?	☐	☒
Use of video or audio recording?	☒	☐
Access to personal or confidential information without the participants' specific consent?	☐	☒
Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☒
Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☒

Investigation of participants involved in illegal activities?	☐	☒
Use of procedures that involve deception?	☐	☒
Administration of any substance, agent or placebo?	☐	☒
Working with live vertebrate animals?	☐	☒
Other primary data collection methods, please explain in this box For example, 'focus groups'. Please indicate the type of data collection method(s) in this box and tick the accompany box.	☐	☒
Details of any other primary data collection method: (this box should expand as you type)		

If NO to every question, then the research activity is (ethically) low risk and **may** be exempt from **some** of the following sections (please refer to Guidance Notes).

If YES to any question, then no research activity should be undertaken until full ethical approval has been obtained.

SECTION G: Intended Participants

Who are the intended participants:	YES	NO
Students or staff at the University?	☐	☒
Adults (over the age of 18 and competent to give consent)?	☒	☐
Vulnerable adults?	☐	☒
Children and Young People under the age of 18? (Consent from Parent, Carer or Guardian will be required)	☐	☒
Prisoners?	☐	☒
Young offenders?	☐	☒
Those who could be considered to have a particularly dependent relationship with the investigator or a gatekeeper?	☐	☒
People engaged in illegal activities?	☐	☒
Others (please identify specifically any group who may be unable to give consent) please indicate here and tick the appropriate box.	☐	☒
Other – please indicate here: (this box should expand as you type)		

Participant numbers and source	
Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
How many participants are expected?	In the first stage, 5 individual interviews with HR managers will be conducted. A pilot test with 30 participants will be organised and the results will be analysed with the purpose to examine the reliability and validity of the instrument. In the main survey, totally 3,600 questionnaires will be distributed via 18 companies in the three categories of the "XXX Award" Scheme (6 companies selected from each category).

	<i>(this box should expand as you type)</i>
Who will the participants be?	All the employees working in the chosen 18 companies will have the opportunity to take part in the study. <i>(this box should expand as you type)</i>
How will you identify the participants?	In the first stage, an invitation letters and consent forms will be sent to the HR managers of 5 selected companies listed in the Scheme. In the second stage, another invitation letter with consent form and a questionnaire will be sent to the HR managers of 18 organisations inviting them to take part in the study. Once permission is granted, The Letter of Consent, Confidentiality Agreement and the Questionnaire will be distributed to the participants via the HR managers of the chosen organisations. <i>(this box should expand as you type)</i>

Information for participants:	YES	NO	N/A
Will you describe the main research procedures to participants in advance, so that they are informed about what to expect?	☒	☐	☐
Will you tell participants that their participation is voluntary?	☒	☐	☐
Will you obtain written consent for participation?	☒	☐	☐
Will you explain to participants that refusal to participate in the research will not affect their treatment or education (if relevant)?	☐	☐	☒
If the research is observational, will you ask participants for their consent to being observed?	☐	☐	☒
Will you tell participants that they may withdraw from the research at any time and for any reason?	☒	☐	☐
With questionnaires, will you give participants the option of omitting questions they do not want to answer?	☒	☐	☐
Will you tell participants that their data will be treated with full confidentiality and that, if published, it will not be identifiable as theirs?	☒	☐	☐
Will you debrief participants at the end of their participation, in a way appropriate to the type of research undertaken?	☒	☐	☐
If NO to any of above questions, please give an explanation			
<i>(this box should expand as you type)</i>			

Information for participants:	YES	NO	N/A
Will participants be paid?	☐	☒	☐
Is specialist electrical or other equipment to be used with participants?	☐	☒	☐
Are there any financial or other interests to the investigator or University arising from this study?	☐	☒	☐
Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☒	☐
If YES to any question, please provide full details			

(this box should expand as you type)

SECTION H: Anticipated Risks

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.

Full risk assessment completed and appended?

Yes

☐

No

☒

Risks to participants

For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information

Risk to Participant:

Other than email addresses, no transfer of other personal data or important financial disclosure is to be made by the participants during the pilot test and main survey. Participants will not face any emotional distress or physical harm during and as a result of research process going through.

Regarding the risks relating to Covid-19, no potential risk to the survey participants is expected since the survey is conducting online. There is a potential risk to the HR managers who take part in the face-to-face interviews.

(this box should expand as you type)

How will you mitigate the Risk to Participant

Written informed consents from participants will be obtained prior to data collection. Participants will have full freedom to decide to participate in or withdraw from, or answer any questions during, the research data collection process without any negative consequence.

All information provided is just for the study only which will be treated confidential and only will be disclosed with anonymity (no name and identity indication will be mentioned).

All data and files will be monthly backed up and password protected. Only the researcher himself, or the Supervisor and the Director of Studies when necessary can access the data generated from the research activities. Data will be retained until the thesis is completed and fully assessed. Once thesis is completed, all the original and electronic copies of the data and files will be deleted and all paper copies will be shredded.

All face-to-face interviews will be conducted in accordance with standard Covid-19 protocols (e.g., making use of hand sanitiser, wearing face masks and maintaining social distance) issued by the Government.

(this box should expand as you type)

If research activity may include sensitive, embarrassing or upsetting topics (e.g. sexual activity, drug use) 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

The whole research process is not anticipated to cause any emotional distress or physical harm to participants. All participants will not encounter any disconnecting, sensitive, embarrassing or disturbing topics and questions in the entire research process. All the questions will be generated

from previous studies. In case if any change needed, they will be carefully worded and reviewed by the Supervisor and the Director of Studies before being used in the study.

(this box should expand as you type)

Risks to investigator

For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest

Risk to Investigator:

There is no known conflict of interest associated with this study. Due to the current pandemic situation in Hong Kong, the survey will be distributed, answered and returned via email. All participants are properly informed and are participating in a voluntary manner and have full freedom to decide to participate in or withdraw from, or answer any questions during, the research data collection process without any negative consequence.

There are no personal safety issues involved with this study. It is not expected to cause emotional distress to the researcher since the topic of the study is an area of the researcher's interest. But there is a potential risk to the researcher when conducting face-to-face interviews with HR managers.

(this box should expand as you type)

How will you mitigate the Risk to Investigator:

All participants will be informed of the importance of completing all the questions in the pilot test and main survey. All data and files will be monthly backed up and password protected. Only the researcher himself, or the Supervisor and the Director of Studies when necessary can access the data generated by the research activities. Data will be retained until the thesis is completed and fully assessed. Once thesis is completed, all original and electronic copies of the data and files will be deleted and all paper copies will be shredded.

All face-to-face interviews will be conducted in accordance with standard Covid-19 protocols (e.g., making use of hand sanitiser, wearing face masks and maintaining social distance) issued by the Government.

(this box should expand as you type)

University/institutional risks

For example: adverse publicity, financial loss, data protection

Risk to University:

Other than email addresses, no transfer of other personal data or important financial disclosure is to be made by the participants during pilot test and main survey. Participants will not face any emotional distress or physical harm during and as a result of research process going through. No financial loss to the University is expected.

(this box should expand as you type)

How will you mitigate the Risk to University:

All personal data will be managed securely and held in accordance with the UK and HK Personal Data (Privacy) Ordinance. All data and files will be monthly backed up and password protected. Only the researcher himself, or the Supervisor and the Director of Studies when necessary can access all data and files generated by the research activity. They will be retained until the thesis is completed and fully assessed. Once the thesis is completed, all original and electronic copies of the data and files will be deleted and all paper copies will be shredded.

(this box should expand as you type)

Disclosure and Barring Service

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?

☐

☒

☐

SECTION I: Feedback, Consent and Confidentiality

Feedback

What de-briefing and feedback will be provided to participants, how will this be done and when?

After the survey, a summary report which complies with the Confidentiality Agreement (e.g. Anonymity, no name & ID indication), will be given to the managers/participants who have registered their interest.

(this box should expand as you type)

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 data collection begins. If gaining consent in this way is inappropriate, explain how consent will be obtained and recorded in accordance with prevailing data protection legislation.

The drafts of the Invitation Letter of the individual interview, survey, email, Letter of Consent, Confidentiality Agreement and the Questionnaire will be approved by both Supervisor and Director of Studies.

After approval is obtained, the said Invitation Letter of the individual interview will be sent to the HR managers of selected 5 companies listed in the Scheme. In the second stage, a letter with consent form and questionnaire will be sent to the HR managers of 18 organisations inviting them to take part in the study. Once permission is granted, The Letter of Consent, Confidentiality Agreement and the Questionnaire will be randomly distributed to the participants via the HR managers of the chosen organisations.

(this box should expand as you type)

Confidentiality / Anonymity

Set out how anonymity of participants and confidentiality will be ensured in any outputs. If anonymity is not being offered, explain why this is the case.

Anonymity will be maintained in the thesis and in any dissemination of the findings. In addition, all data protection guidelines including data accessibility, data disposal criteria and procedures will be taken into account.

(this box should expand as you type)

SECTION J: Data Protection and Storage

In completing this section refer to the University's Research Data Management Policy and the extensive resources on the University's Research Data Management web pages (<http://uwtsd.ac.uk/library/research-data-management/>).

Does the research activity involve personal data (as defined by the General Data Protection Regulation 2016 "GDPR" and the Data Protection Act 2018 "DPA")?	YES	NO
<i>"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.</i>	☒	☐
If YES, provide a description of the data and explain why this data needs to be collected:		
Personal data relating to participants including income range and email addresses is expected to collect during pilot test and main survey for further analysis when necessary. <i>(this box should expand as you type)</i>		
Does it involve special category data (as defined by the GDPR)?	YES	NO
<i>"Special category data" means sensitive personal data consisting of information as to the data subjects' – (a) racial or ethnic origin,</i>		

(b) political opinions, (c) religious beliefs or other beliefs of a similar nature, (d) membership of a trade union (within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992), (e) physical or mental health or condition, (f) sexual life, (g) genetics, (h) biometric data (as used for ID purposes),	☐	☒
If YES, provide a description of the special category data and explain why this data needs to be collected:		
(this box should expand as you type)		
Will the research activity involve storing personal data and/or special category data on one of the following:	YES	NO
Manual files (i.e. in paper form)?	☒	☐
University computers?	☐	☒
Private company computers?	☐	☒
Home or other personal computers?	☒	☐
Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☐	☒
"Cloud" storage or websites?	☐	☒
Other – specify:	☐	☒
For all stored data, explain the measures in place to ensure the security of the data collected, data confidentiality, including details of password protection, encryption, anonymisation and pseudonymisation:		
All data collected will be stored and managed in accordance with the requirements of the UK and HK Personal Data (Privacy) Ordinance. Data will be kept safe in a designated computer with password protection. It will only be accessed by the researcher himself, or by the Supervisor and the Director of Studies when necessary. (this box should expand as you type)		
All Data Storage		
Will the research activity involve any of the following activities:	YES	NO
Electronic transfer of data in any form?	☐	☒
Sharing of data with others at the University?	☐	☒
Sharing of data with other organisations?	☐	☒
Export of data outside the European Union or importing of data from outside the UK?	☐	☒
Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☒	☐
Publication of data that might allow identification of individuals?	☐	☒
Use of data management system?	☐	☒
Data archiving?	☐	☒

If YES to any question, please provide full details, explaining how this will be conducted in accordance with the GDPR and DPA (and/or any international equivalent):		
All the personal data will be stored and managed in accordance with the requirements of the UK and HK Personal Data (Privacy) Ordinance. <i>(this box should expand as you type)</i>		
List all who will have access to the data generated by the research activity:		
Only the researcher himself, or the Supervisor and the Director of Studies when necessary. <i>(this box should expand as you type)</i>		
List who will have control of, and act as custodian(s) for, data generated by the research activity:		
Only the researcher himself <i>(this box should expand as you type)</i>		
Give details of data storage arrangements, including security measures in place to protect the data, where data will be stored, how long for, and in what form. Will data be archived – if so how and if not why not.		
All data collected in this study will be stored and managed in accordance with the requirements of the UK and HK Personal Data (Privacy) Ordinance. It will be kept safe in a designated computer with password protection, and will only be accessed by the researcher himself, or by the Supervisor and the Director of Studies when necessary. <i>(this box should expand as you type)</i>		
Please indicate if your data will be stored in the UWTSD Research Data Repository (see https://researchdata.uwtsd.ac.uk/). If so please explain. <i>(Most relevant to academic staff)</i>		
N/A <i>(this box should expand as you type)</i>		
Confirm that you have read the UWTSD guidance on data management (see https://www.uwtsd.ac.uk/library/research-data-management/)	YES	☒
	NO	☐
Confirm that you are aware that you need to keep all data until after your research has completed or the end of your funding	YES	☒
	NO	☐

SECTION K: 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 Code of Practice which is published on the website: https://www.uwtsd.ac.uk/research/research-ethics/		
Signature of applicant:		Date:

For STUDENT Submissions:

Director of Studies/Supervisor:		Date:
Signature:		

For STAFF Submissions:

Academic Director/ Assistant Dean:		Date:
Signature:		

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

☒	I have read the guidance notes supplied before completing the form.
☒	I have completed ALL RELEVANT sections of the form in full.
☒	I confirm that the research activity has received approval in principle
☐	I have attached a copy of final/interim approval from external organisation (where appropriate)
☐	I have attached a full risk assessment (and have NOT completed Section H of this form) (where appropriate) ONLY TICK IF YOU HAVE ATTACHED A FULL RISK ASSESSMENT
☒	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.
☒	I understand that before commencing data collection all documents aimed at respondents (including information sheets, consent forms, questionnaires, interview schedules etc.) must be confirmed by the DoS/Supervisor, module tutor or Academic Director.
☒	I have deleted the guidance notes before submitting the PG2 for consideration

RESEARCH STUDENTS AND STAFF ONLY

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. You will be informed of the outcome of your claim by email; therefore it is important that you check your University and personal email accounts regularly.

STUDENTS ON UNDERGRADUATE OR TAUGHT MASTERS PROGRAMMES should submit this form (and receive the outcome) via systems explained to you by the supervisor/module leader.

This form is available electronically from the Academic Office web pages:

<https://www.uwtsd.ac.uk/academic-office/appendices-and-forms/>

Application Process

All staff research projects and all research students must submit the Ethical Approval Form to the **University Research Ethics Committee** via the Academic Office (pgresearch@uwtsd.ac.uk). Staff research directly in relation to personal study for taught undergraduate or Masters programmes should be submitted via the Institute procedures explained below.

Taught masters and taught undergraduate research Ethical Approval Forms are considered **within Institutes**. Institutes will provide details of the specific processes for this. Where the Ethical issues within any single ethical application are of particular concern the Institute will refer these to the University Research Ethics Committee. Any student activity that involves the collection of primary data needs to undergo Ethical approval, this includes assignment work as well as dissertations.