



LEVEL 7 ASSESSMENT SPECIFICATION

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Executive summary

Nowadays, people care more on their own health than ever before, especially after the catastrophic pandemic of COVID-19 globally. With the development of science and technology, people know themselves better from different channels, i.e., the internet or family doctors, and they are willing to purchase and take supplements continuously if necessary to keep fit.

Zhongke 5X Ganoderma Spore product is a product that can improve one's immune system and improve one's health with scientific support. The ingredient of the product is traditional precious Chinese medicinal materials – Ganoderma etc. This report will analyse this product from different angles, including the overall Ganoderma Spore product market analysis, competitors' products comparison, its current marketing strategies, bottlenecks of its expanding etc. Based on the current situation and analysis, to give suggestions and recommendations to the company in terms of increasing this product market share in the coming 3-5 years in Hong Kong market.

Chapter 1 will be the introduction the industrial environment and the company background, it will also include more information about the report scope and objective. Chapter 2 is the analysis of the current product and company situation by applying PEST and SWOT tools. Chapter 3 will be the further exploration of the company's mix strategy by STP, 4P models etc. Chapter 4 will be some suggestions and recommendations the author raised, based on the previous analysis of how to improve the sales and expand the sales marketing. The key actions will be improving the brand awareness and recognition, extending the target customer segment and applying different marketing methods towards different customers.

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1.0 Introduction

This chapter will introduce the industrial environment, Zhongke group background and scopes and objectives of this report.

1.1 Industrial Environment

In Hong Kong, more and more people focus on health of the family and themselves.

According to the research that done by Hong Kong Health Food Association and Social Sciences Research Centre (2019), there are nearly 60% of the respondents took health supplements in the past half year. It is estimated that more than 3.5 million people in Hong Kong have a habit of taking health supplements. The trend compared with 2014 (30%) has increased significantly.

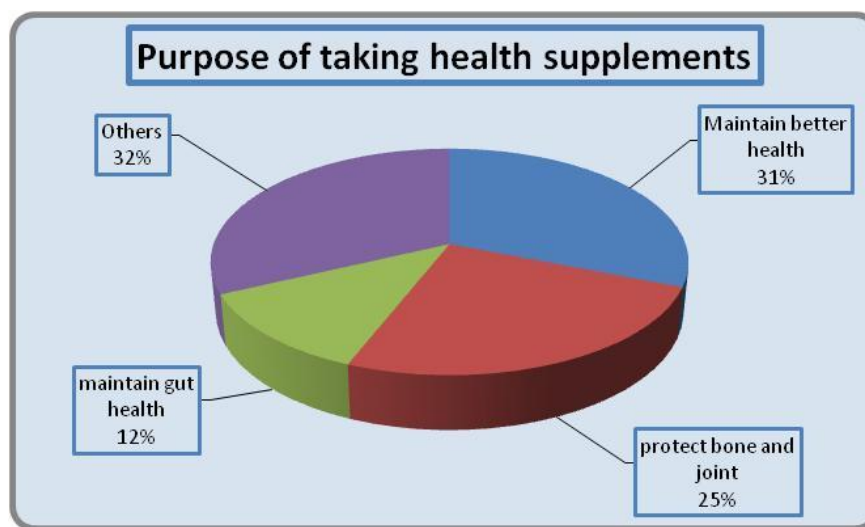


Figure 1.1 Purpose of taking health supplements. Source: Hong Kong Health Food Association and Social Sciences Research Centre (2019).

According to Figure 1.1, health products fit in the purpose of maintaining better health and gut health, which matches 43% of consumers' purposes of taking health supplements.

These products include Vitamins, Cordyceps sinensis products, Ganoderma products etc.

That means 1.5 million people in Hong Kong are willing to purchase the health product for

the purposes of maintain the health (Hong Kong Health Food Association and Social Sciences Research Centre, 2019).

In Hong Kong, people prefer to have precious Chinese medicinal products to keep health. It includes Ganoderma product. About 50% of consumers will prefer to purchase the Ganoderma product from dominated retailers, such as Mannings and Watsons (Hong Kong Health Food Association and Social Sciences Research Centre, 2019) or the brand online purchasing website as the value of the product is high, consumers care about the product quality.

1.2 Company Background

The company Zhongke Health Industrial Ltd. established in 1984 in China. Now it has 60 subsidiary corporations all over the world. Unlike some of its competitors to have OEM (Original Equipment Manufacturer) for manufacturing. The group has its own herbal planting fields, global-leading unique and advanced production technology. The group is always proud of their expertise in the industry. It has 2 items of anti-cancer pure Chinese medicine which are currently under the clinical trial; The company owns Chinese and international patent, over 151 items (Zhongke, 2021a).

In terms of Hong Kong market, the company products have got all required certification to serve the Hong Kong health product market. It has multiple production lines, including Cordyceps sinensis products, Ganoderma products etc. This report focuses on the Zhongke 5X Ganoderma Spore product. (Zhongke, 2021b).

1.3 Scopes and Objectives

This report will focus on the Zhongke 5X Ganoderma Spore capsule product, to analyze its

marketing position and promotion methods in Hong Kong, to identify the areas it can further develop to increase its sales and market share in the Ganoderma Spore capsule industry.

2.0 Situation Analysis

This chapter will demonstrate the existing environment and forecast, the likely effect and impact in the coming three years.

2.1 PEST analysis



Table 2.1 2021 Global Retail PEST Analysis. Source: Goller, (2021)

According to PEST analysis (Aguilar, 1967) – political, economic, social and technological, it is a management method to assess and evaluate the company’s major external factors which influence its operations in order to become competitive in the market. Table 2.1 is

the retail PEST analysis 2021 globally.

The global situation does not entirely fit Hong Kong market. However, there are some factors that impact the global market including Hong Kong, i.e., the global economy suffered from COVID-19, concerns on global environment issues etc. Based on the PEST analysis theory and combining the Hong Kong market, below is the Zhongke 5X Ganoderma Spore products PEST analysis.

2.1.1 Political

Zhongke products fit all the related product regulations in Hong Kong, like its main competitors, including Good Manufacturing Practices (GMP) certification, ISO9001, ISO14001 and OHSAS18000 (Hong Kong Council for Testing and Certification, 2015). However, the country of origin is China which is less welcomed or accepted by Hong Kong consumers.

2.1.2 Economic

Based on chapter 1.1, purchase power for health products has potential 1.5 million people * average monthly spending HKD 453 * 12 months = HKD 8.1 billion. (Hong Kong Health Food Association and Social Sciences Research Centre, 2019). Therefore, it is a huge market for health products. However, the global economy growth has been slowed down or being negative growth since COVID-19. It also impacted consumers purchasing power.



Figure 2.1 GDP per capita (USD) – Hong Kong. Source: World Bank (2020a)

Above figures show the GDP growth of Hong Kong. For the past two decades, the GDP was doubled (Word Bank, 2020a), which makes people have more money to spend on supplement or healthy products.



Figure 2.2 GDP growth (annual %) – Hong Kong. Source: World Bank (2020b)

This chart shows the GDP growth percentage of Hong Kong. In the past two decades, most of the years, Hong Kong had a positive growth rate of 1% to 8% growth rate (World Bank, 2020b). This also brings positive economy effects.

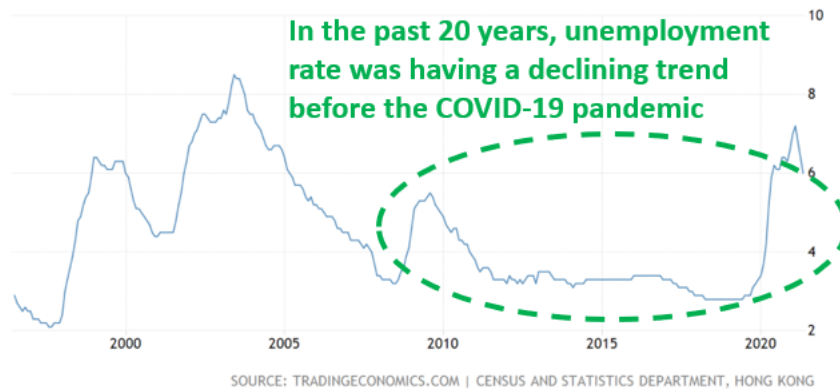


Figure 2.3 Unemployment rate – Hong Kong. Source: Trading Economics (2021)

The unemployment rate in Hong Kong was quite stable and low from 2010 before the COVID-19 pandemic (Trading Economics, 2021), which is good to the economy and purchasing power.

Based on above data for Hong Kong economy, there is potential purchase power as GDP keeps high. The high unemployment rate and GDP declining makes the overall business atmosphere for retail becomes tough since 2020.

2.1.3 Social

Hong Kong is the area that has the longest life expectancy (World population review (2021). People in Hong Kong pay more and more attention to their health (Hong Kong Health Food Association and Social Sciences Research Centre, 2019). According to figure 2.4 below, it can also be forecasted that the aging population is growing more in the coming decades. The elderly are the target customers for health products in Hong Kong.

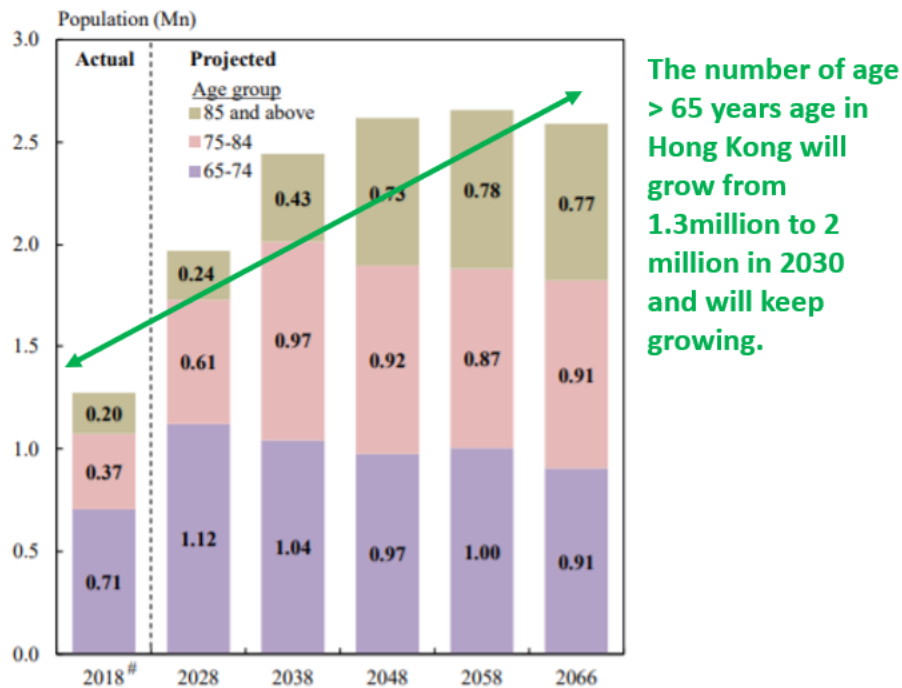


Figure 2.4 Elderly population by age group - Hong Kong. Source: HK Economy (2019)

The forecast for elderly population shows the number of age > 65 years age in Hong kong will grow from 1.3million in 2018 to 2million in 2030 and the trend is keep growing. This shows the demand will keep growing for the health products.

2.1.4 Technological

In general, product technology is very important to the effectiveness of the Ganoderma products. Zhongke implements the most advanced technology in the industry, including unique physical 100% shell broken technology with patent (Zhongke, 2021a). Zhongke need to deliver the technological advantage to an easy-to-understand message to consumers, in order to build consumers' confidence to the product.

2.2 SWOT analysis

Applying SWOT analysis (Pahl, Richter and Berlin, 2007), and based on above information, Zhongke Ganoderma Spore product can be summarized to fit in below SWOT analysis:

中科健康產業集團（簡稱中科集團）成立於1984年，註冊資金1.53億人民幣，擁有60家分子公司，並在美國、香港、新加坡等設有分支機構。與全球15個國家和地區的科研機構以及大學進行科研學術合作。中科集團擁有GAP中草藥材種植基地、超17萬平方尺GMP生產基地、3萬8千平方呎產品科研中心，擁有全球獨有CO₂超臨界萃取技術和從原料採集到產品生產全程低溫冷鏈技術，在同行業中率先通過ISO9001、ISO14001、OHSAS18001一體化認證；目前有2項純中藥抗腫瘤藥物正進行臨床試驗；已獲批抗腫瘤藥物一項。藥品研發方面，目前具有新藥證書1件，藥品生產批文2件。目前擁有國內、國際專利151項（其中發明專利43項），並有兩項為PCT國際發明專利。

上個世紀80年代，中國研究靈芝技術漸漸落後於西方和日本，國家有感於此，遂於1984年中科院南京地理與湖泊研究所內一間研究室創辦「中科」，決定運用現代科學理念研究靈芝，歷經數十年，「中科」在靈芝領域取得的專利和研究成果一舉奠定了現代靈芝研究的基礎和方向，成為中國靈芝研究之父。

進入21世紀，「中科」進一步發展成為集中藥與保健食品的研製、生產與銷售一體化的大型集團，自2002年始，中科院建立了國際一流的GAP種植基地、GMP生產和強大的研發中心，在全球15個國家和地區建立銷售網路與科研合作，「中科」成為中國自主保健食品第一品牌，致力於為全球華人提供最優質、最安全和最可靠的純天然保健食品。

Figure 2.5 Zhongke own facility. Source: Zhongke, 2021a

From Zhongke's corporate homepage, it shows strength of unique technology, it's high quality of ingredients, they have their own growing plant and manufacturing instead of OEM mode.



Figure 2.6 Patent of production method

The company has got many industrial leading production method, some of these have patents, i.e., show in Figure 2.6. In the Ganoderma products, this production method can help to have better effectiveness of the product.

The weaknesses of the product or company are mentioned earlier in the paper: brand awareness, country of origin is China and no online sales provided.

The opportunities are: aging population as demonstrated earlier, longevity and current COVI-19 circumstances.

The threats are substitute products and people may fear of supplement dependence (Journey, 2019, p.2).

Strength: Unique technology production patent Quality of ingredients	Weaknesses: Brand awareness Made in China No online sales - inconvenient
Opportunities: Longevity Aging population COVID-19	Threats: Substitute products Supplement dependence

Table 2.2 SWOT analysis – Zhongke Ganoderma Spore product, constructed by the author

In summary, it can be forecasted the overall market for the Ganoderma products in Hong Kong is expanding and growing in the coming three years or longer term. Zhongke products have the opportunity to gain more market share in Hong Kong, as long as the company applied appropriate marketing strategy in the coming 3-5 years.

3 STP and Marketing Mix Strategy

Previous two chapters have illustrated Zhongke Ganoderma Spore products' advantage and disadvantage by applying PEST and SWOT models. This chapter will focus more on its current marketing position and marketing strategy.

3.1 STP Model Analysis

According to STP (Moutinho, 2000), the current Zhongke Ganoderma product mainly fits in below segmentation, targeting and positioning. First of all, the market of this product is Ganoderma products in packaging of capsules. In this report and analysis, it will compare Zhongke Ganoderma products with four main competitors, Roy Medic, Vita Green, Eu Yan Sang and SZYY. To better understand the marketing strategy of Zhongke Ganoderma product, the author had a conversation with the marketing manager of Zhongke HK Ltd, Mr Wong.

Segmentation: Health conscious, age, income (Wong, 2021).

Targeting: Based on health conscious, it targets people with chronic illnesses; based on age, it mainly targets middle age or above (> 45 years old). Based on income, it mainly targets middle class who can afford to continuously purchase supplements (Wong, 2021).

Positioning: The most effective elements for consumers to make a purchase decision among different brands is the food label and ingredients (Ares et al. 2013), which means consumers compare the quality of the product and put quality as an important factor of purchasing. In this analysis, the two elements are price and quality which influence consumers to make the final purchase decision. The quality will also impact the consumers' decision of continuous purchasing. Checking the main competitors, here are the main

findings:

Brand	Number of capsule	Price HKD	Average Price per capsule HKD
Zhong Ke	60	269	4.5
Royal Medic	60	299	5.0
Vita Green	72	528	7.3
Eu Yan Sang	60	394	6.6
SZYY	60	299	5.0

T

Table 3.1 Price comparison. Source: Mannings (2021)

According to above table 3.1, Zhongke product sells the lowest price and Vita Green sells the highest price.

Brand	Ingredient	Production Technology
Zhong Ke (source 1)	99% shell broken spore powder (60%), 5-times concentrated Ganoderma Lucidum extract (30%), ganoderma polysaccharides and triterpenes (10%)	Select GAP (Good Agricultural Practice) Mount.Huang basswood Ganoderma Lucidum. Apply a unique physical shell broken technology.
Royal Medic (source 2)	Shell broken spore powder, Agaricus blazei (no detail %)	Not mention production technology.
Vita Green (source 3)	100% natural wild Ganoderma Lucidum of 6 different kinds (not shell broken type)	Not mention production technology. Emphasise "wild" and "nature" and mix of 6 type of ganoderma.
Eu Yan Sang (source 4)	Broken Ganoderma Spores 80%, super concentrated Ganoderma sporophore extract 20%	Cultivated in GAP (Good Agricultural Practice) environment. High spore breakage rate. Applied the most advanced biochemical method.
SZYY (source 1)	Wild Ganoderma Lucidum Sporophore Glycopeptide(50%), Sporoderm-broken Ganoderma Lucidum Spore Powder(40%), Coenzyme Q10(10%)	Not mention production technology.

Table 3.2 Quality comparison. Source 1: Mannings (2021); Source 2: Royal Medic (2021); Source 3: Vita Green (2021); Source 4: Eu Yan Sang (2021)

Based on ingredient and technology to define quality, Zhongke Ganoderma product has highest quality and lowest price. Royal Medic and SZYY have competitive price as well which is close to Zhongke's price, but their quality is much lower. Eu Yan Sang holds high quality, but price is 1.5 times of Zhongke's price.

Brand	Country of Origin
Zhong Ke	China
Royal Medic	Hong Kong
Vita Green	Hong Kong
Eu Yan Sang	Hong Kong
SZYY	Japan

Table 3.3 Product country of origin. Source 1: Mannings, (2021)

Moreover, according to Mandler, Won and Kim (2017), country-of-origin (COO) plays an important part to consumers' confidence when they purchase products. Producing in China turns Zhongke into a relatively disadvantaged position. This is also confirmed by Wong (2021) based on the company's customer feedback and market investigations.



Figure 3.1 Positioning analysis of Ganoderma capsule products

Therefore, based on the price and quality, the Zhongke Ganoderma product is with high quality and low price comparing with its main competitors.

3.2 Marketing mix strategy

Perreault and McCarthy (2002) mentioned 4P is probably the best-known way of defining market mix. These 4Ps can influence a consumer's decision-making. These 4Ps are product, price, placement and promotion. Table 3.1 and 3.2 have demonstrated Zhongke Ganoderma Spore product and price position.

In terms of placement, Zhongke Ganoderma products only have two sales channels (Wong, 2021), purchase from their office in Causeway Bay or purchase through their sole distributor Mannings. There is not any other distributors, or any online purchase available for the customers. In Manning shops, the company has been working with Mannings to place their promoters or salesperson in some of the stores, and by doing this, the sales figures for the Ganoderma products increased a lot compared with those shops without salesperson (Wong, 2021).

Zhongke's spokesman –
Xia Yu, 77-years old actor.



Figure 3.2 Zhongke's printed advertisement. Sourcing: Mannings (2021)

For promotion, the brand mostly focused on traditional advertising of newspaper by working with 77-year-old actor Ha Yu. It does not apply much digitalized promotion methods. The other way to build up new customers from Mannings by Zhongke's in-shop promoters (Mannings, 2021).

4 Future Development and Recommendations

Based on above information and analysis, it shows Zhongke Ganoderma products are high-quality products with some bottlenecks to obtain customers' interest and confidence. That is to say, once the bottlenecks are fixed, there are many marketing strategies and activities the company could trial or implement to expand its market share and revenue.

4.1 Building brand awareness and recognition

Brown et al. (2006) stated that there are two levels of brand identity and image. The first level is on organizational identification of how the company develops a unique image and corporate differentiated. The second one is an individual level investigation, to understand what company stakeholders think of it. For the Zhongke Ganoderma product, based on the STP analysis, building the brand awareness, and then building the brand recognition is the first and foremost steps for all marketing activities. In order to do achieve this, Zhongke need to look at below actions.

One is to change the product country of origin from China to Hong Kong. The company has launched one of their products – Strong Bone Health, which is made in Hong Kong instead of China. This is the first product made in Hong Kong, Strong Bone Health, compared with one of the other product – Cartilage-care with similar effectiveness but made in China, has 3 times of sales of Cartilage-care based on the sales figures provided by Wong (2021).

Another is to promote their uniqueness of ingredients and production technology. Claessens (2017) mentioned that there are four types consumer products, show as table below. It is appropriate to classify Zhongke Ganoderma product as ‘specialty products’. Customers have strong brand royalty, low price sensitivity. They can set price high in this case as long as the quality and brand itself gives customers enough confidence. They have sole distributor Mannings which they do not necessarily to spend extra money and cost to expand. The promotions should be more targeted to specific customer segments and delivery carefully. Zhongke should promote their brand uniqueness of high quality of ingredients and unique patented production technology. They can emphasize their unique technology through newspaper advertisement and training to their Mannings in-shop promoters to make sure the information was delivered to end-customers.

Types of Consumer Products				
	Convenience	Shopping	Speciality	Unsought
Customer buying behaviour	Frequent purchase, little effort (planning, comparison), low customer involvement	Less frequent purchase, much effort (planning and comparison of brands on price, quality, style etc.)	Strong brand preference and loyalty, special purchase effort, little comparison of brands, low price sensitivity	Little product awareness and knowledge or little interest
Price	Low price	Higher price	High price	Varies
Distribution	Widespread distribution, convenient locations	Selective distribution, fewer outlets	Exclusive distribution in only one or a few outlets	Varies
Promotion	Mass promotion	Advertising and personal selling	More carefully targeted promotion	Aggressive advertising and personal selling
Examples	Toothpaste, magazines, laundry detergent	Television, furniture, clothing	Luxury goods (e.g. Rolex watch), designer clothing	Life insurance or pre-planned funeral service

Table 4.1 Types of Consumer Products, source: Claessens (2017)

4.2 Corporate Growth Strategies

According to Ansoff matrix (Bachmeier, 2013), Zhongke Ganoderma product fits in

“Market Penetration” strategy as the product is current product sold for over 10 years and the market is current market. Market penetration strategy includes: increase market share; increase product usage by increasing frequency or quantity of use, or new applications. In Zhongke case, they can promote the frequency of use by reminder the customers keep having their products, especially when they are sick, or during this special period of COVID-19. They could also evaluate if it is worth to have new promotional packages. For example, bundle with other products of theirs or quarterly pack to customers, which some of the competitors have done. Some seasonal packages might also be considered as gifts to friends or families. For example, special package for Father’s Day or Mother’s Day to increase the sales during festivals.

How to Make an Ansoff Matrix Template

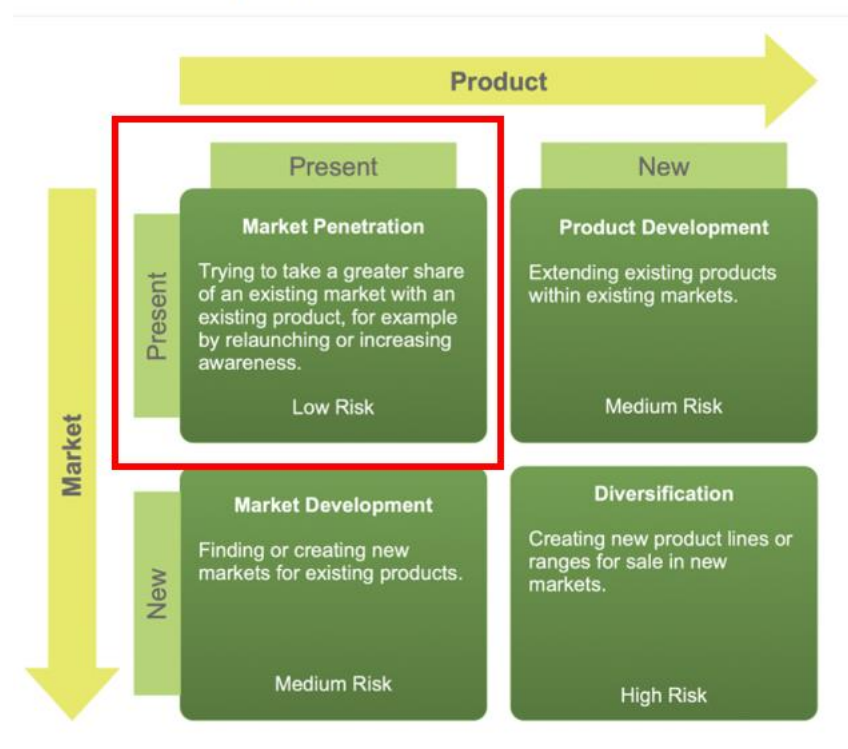


Table 4.2 Ansoff Matrix - Penetration, source: (Bachmeier, 2013)

After Zhongke has built their brand awareness and recognition, and customers’ confidence as mentioned in previous chapters, Zhongke can think about ‘Market Development’

strategy to grow its business. This strategy includes expanding markets for existing products. For example, geographic expansion or target new segment. For Zhongke, they can keep the same product, but target younger generation. Try to expand the target customer to younger age of health-conscious group. For example, 30-45-year age office ladies. They care about their health, and also care about their family member's health, husbands, kids, parents. Zhongke's product package, marketing strategy, promotional method needs to be adjusted to attract this new target segment.

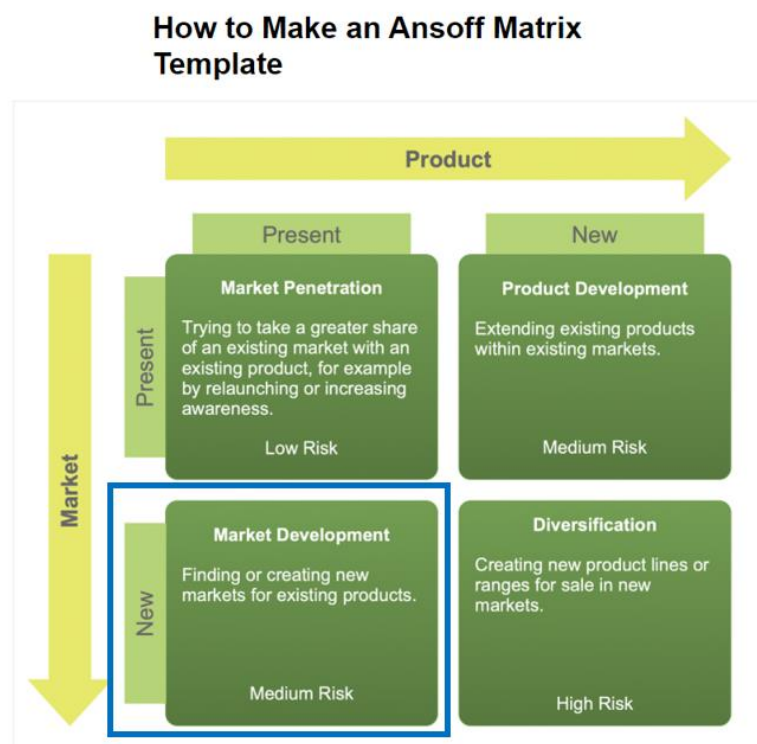


Table 4.3 Ansoff Matrix – Market Development, source: (Bachmeier, 2013)

According to Weinstein (2013), when looking at targeting from broadly to narrowly, there are four types of marketing strategies. Zhongke is now putting themselves into concentrated marketing as they only promoted by newspaper, not focus on social media or other kind of advertisement. The relatively younger generation, for example 45 years old or Less than 45 years old, will be less sensitive to newspaper advertisements. In the future,

Zhongke needs to expand their target customers to re-define their marketing strategy.

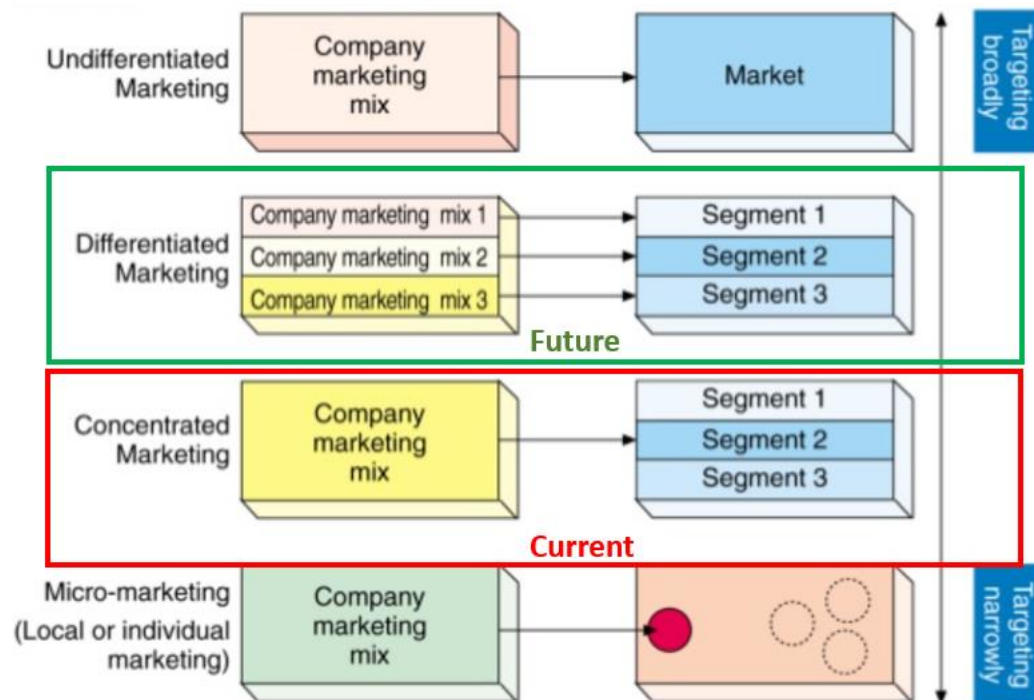


Figure 4.1 Target Marketing Strategies, source: Weinstein (2013)

Based on above analysis and information:

Company marketing mix 1: Newspaper advertisement Promoters	Segment 1: Over 50 years old who prefer traditional purchase method of in-store purchase and communicate with salesman.
Company marketing mix 2: Promoters Social media promotion	Segment 2: 35-50 years old (could divide this segment further by gender).
Company marketing mix 3: Free samples in some clinics Trial service for Zhongke's expert	Segment 3: People suffered chronic illness

4.3 Promotion Methods

After Zhongke expand their customers' segment to different marketing mix, they should also look at different product adjustment and marketing methods to promote. There are several things they should look at:

Corporate website enhancement, the features of E-commerce should be applied (Zhao and Morad (2013)). For example, video production to introduce the company, company uniqueness and strength, company products or even Ganoderma growing and production should be shown. The company could also think to have English version of website to fit Hong Kong's culture and preference. They could also consider having English description on the product package as well as some competitors do.

Social media promotion, to allow users to feedback their true voice and this adds confidence to other potential customers. This is also something needs to be done to attract young generation.

Search engine marketing should be applied, which currently is ignored due to the target customers are less sensitive to it. When key in Chinese version of Ganoderma Spore product in Google, Zhongke product will not pop-up, while the competitors' product will be displayed.



Figure 4.2 Google Chinese version of Ganoderma Spore in Google.

On Zhongke's website, they have more than 20 experts who can provide services to their customers. It should be promoted as value added service to the brand and product, while most of their competitors do not provide the similar service. This is another point that Zhongke can differentiate themselves in the market.



Figures 4.3 Zhongke's experts. Source: Zhongke (2021b)

4.4 Conclusion

Zhongke Ganoderma products has its own advantages and disadvantages. The disadvantages, which is brand awareness and country of origin have become vital bottleneck for them to grow and gain the potential customers. The first step for them is to solve the problem and then take the following steps to further gain more market share. The company has launched its first made-in-Hong Kong product and received well feedback from the market. They need to accelerate the re-image process to the other product lines include the Ganoderma Spore products.

After the first step is done. There will be more potential customers have interest to Zhongke products. They might be new to the Ganoderma market, but who feels a need by getting the information of unique effectiveness that Zhongke Ganoderma can achieve, or they might change their current brand to Zhongke brand. More promotions need to be done to attract these potential customers. The promotion methods should be specific to different segment customers, including keep the traditional newspaper and salesman promotion to elderly,

enhance the social media and digitalized advertisement for younger group, clinic or offering professional service to the people who suffered chronic illnesses etc. By applying the new marketing strategy, the product itself needs to be re-packed if necessary to be more attractive to consumers.

Zhongke group owned other health products, developing the Ganoderma Spore product as the star product will also help their sales to other products. It is worth to invest and explore more in Hong Kong market.

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Appendix

Ethical approval

APPLICATION FOR ETHICAL APPROVAL

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**: "creative 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, postgraduate research students, and both taught postgraduate and undergraduate students working on dissertations/projects.

The individual undertaking the research activity is known as the "principal researcher".

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

Please read the notes for guidance before completing ALL sections of the form.

This form must be completed and approved prior to undertaking any research activity. Please see Checklist for details of process for different categories of application.

Delete the Guidance Notes at the end of the form BEFORE submitting your application

SECTION A: About You (Principal Researcher)

1	Full Name:	To Wun Fong			
2	Tick all boxes which apply:	Member of staff:	☐	Honorary research fellow:	☐
3	Undergraduate Student	☐	Taught Postgraduate Student	☐	Postgraduate Research Student
					☒
4	Institute/Academic Discipline/Centre:	HKMA			
5	Campus:	Hong Kong			
6	E-mail address:	felix7989@hotmail.com			
7	Contact Telephone Number:	+852 - 53456007			
For students:					
8	Student Number:	2030802			
9	Programme of Study:	Master of Business Administration - Marketing Management			
10	Director of Studies/Supervisor:	Dr Arion Wong			

SECTION B: Approval for Research Activity

1	Has the research activity received approval in principle? (please check the Guidance Notes as to the appropriate approval process for different levels of research by different categories of individual)	YES	☐	NO	☒
					Date
2	If Yes, please indicate source of approval (and date where known): <i>Approval in principle must be obtained from the relevant source prior to seeking ethical approval</i>	Research Degrees Committee	☐		
3		Institute Research Committee	☐		
4		Other (write in)	☐		

SECTION C: Internal and External Ethical Guidance Materials

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, 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.	
1	UWTSD Research Ethics & Integrity Code of Practice ☒
2	UWTSD Research Data Management Policy ☒
3	☐

SECTION D: External Collaborative Research Activity

1	Does the research activity involve collaborators outside of the University?	YES	☐	NO	☒	
2	If Yes, please provide the name of the external organisation and name and contact details for the main contact person and confirmation this person has consented to their personal data being shared as part of this collaboration.					
3	Institution					
4	Contact person name					
5	Contact person e-mail address					
6	Has this individual consented to sharing their details on this form?	YES	☐	NO	☒	
7	Are you in receipt of a KESS scholarship?	YES	☐	NO	☒	
8	Is your research externally funded?	YES	☐	NO	☒	
9	Are you specifically employed to undertake this research in either a paid or voluntary capacity?	Voluntary	YES	☐	NO	☒
10		Employed	YES	☐	NO	☒
11	Is the research being undertaken within an existing UWTSD Athrofa Professional Learning Partnership (APLP)?	If YES then the permission question below does not need to be answered.	YES	☐	NO	☒
12	Permission to undertake the research has been provided by the partner organisation	(If YES attach copy) (If NO the application cannot continue)	YES	☐	NO	☒

Where research activity is carried out in collaboration with an external organisation

13	Does this organisation have its own ethics approval system?	YES	☐	NO	☒
14	If Yes, please attach a copy of any final approval (or interim approval) from the organisation				

SECTION E: Details of Research Activity

1	Indicative title:	Sales and Marketing Manager		
2	Proposed start date:	7-Jun-2021	Proposed end date:	7-Jun-2021
3	Introduction to the Research (maximum 300 words) Ensure that you write for a <u>Non-Specialist Audience</u> when outlining your response to the three points below: • Purpose of Research Activity • Proposed Research Question • Aims of Research Activity • Objectives of Research Activity Demonstrate, briefly, how Existing Research has informed the proposed activity and explain • What the research activity will add to the body of knowledge • How it addresses an area of importance.			
4	Purpose of Research Activity To provide more supporting to the assignment (this box should expand as you type)			
5	Research Question Please introduce your company background and products. Please introduce more on current and future marketing strategy. (this box should expand as you type)			
6	Aims of Research Activity To better understand the background, product and strategy. (this box should expand as you type)			
7	Objectives of Research Activity To know more details about Zhongke's market strategy of the present and future. (this box should expand as you type)			
8	Proposed methods (maximum 600 words) Provide a brief summary of all the methods that may be used in the research activity, making it clear what specific techniques may be used. If methods other than those listed in this section are deemed appropriate later, additional ethical approval for those methods will be needed.			
9	(this box should expand as you type)			

10	Location of research activity Starbucks Sui Sai Wan . Hong Kong Identify all locations where research activity will take place.
11	(this box should expand as you type)
12	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.
13	Confirm above . (this box should expand as you type)

14	Use of documentation not in the public domain: Are any documents NOT publicly available?	NO	☐
		YES	☒
15	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. From the company's internal meetings and documents . (this box should expand as you type)		

SECTION F: Scope of Research Activity

1	Will the research activity include:	YES	NO
2	Use of a questionnaire or similar research instrument?	☐	☒
3	Use of interviews?	☒	☐
4	Use of diaries?	☐	☒
5	Participant observation with their knowledge?	☐	☒
6	Participant observation without their knowledge?	☐	☒
7	Use of video or audio recording?	☐	☒
8	Access to personal or confidential information without the participants' specific consent?	☐	☒
9	Administration of any questions, test stimuli, presentation that may be experienced as physically, mentally or emotionally harmful / offensive?	☐	☒
10	Performance of any acts which may cause embarrassment or affect self-esteem?	☐	☒
11	Investigation of participants involved in illegal activities?	☐	☒
12	Use of procedures that involve deception?	☐	☒
13	Administration of any substance, agent or placebo?	☐	☒
14	Working with live vertebrate animals?	☐	☒

15	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.		
16	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

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

12	Participant numbers and source Provide an estimate of the expected number of participants. How will you identify participants and how will they be recruited?	
13	How many participants are expected?	one (this box should expand as you type)
14	Who will the participants be?	Wong Wai Wai (Sales and Marketing Manager of Zhang Ke Hong Kong) (this box should expand as you type)
15	How will you identify the participants?	He is the one who is relevant to answer the questions. (this box should expand as you type)

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

28	Information for participants:	YES	NO	N/A
29	Will participants be paid?	☐	☒	☐
30	Is specialist electrical or other equipment to be used with participants?	☐	☒	☐
31	Are there any financial or other interests to the investigator or University arising from this study?	☐	☒	☐
32	Will the research activity involve deliberately misleading participants in any way, or the partial or full concealment of the specific study aims?	☐	☒	☐
33	If YES to any question, please provide full details			
34	(this box should expand as you type)			

SECTION H: Anticipated Risks

1	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.		
2	Full risk assessment completed and appended?	Yes	☐
		No	☒
3	Risks to participants For example: emotional distress, financial disclosure, physical harm, transfer of personal data, sensitive organisational information		
4	Risk to Participant: (this box should expand as you type)	How will you mitigate the Risk to Participant (this box should expand as you type)	

5	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			
	(this box should expand as you type)			
6	Risks to investigator For example: personal safety, physical harm, emotional distress, risk of accusation of harm/impropriety, conflict of interest			
	Risk to Investigator: (this box should expand as you type)	How will you mitigate the Risk to Investigator: (this box should expand as you type)		
7	University/institutional risks For example: adverse publicity, financial loss, data protection			
	Risk to University: (this box should expand as you type)	How will you mitigate the Risk to University: (this box should expand as you type)		
8	Disclosure and Barring Service			
9	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
10	Does your research require you to hold a current DBS Certificate?	☐	☒	☐

SECTION I: Feedback, Consent and Confidentiality

1	Feedback What de-briefing and feedback will be provided to participants, how will this be done and when?
	(this box should expand as you type)
2	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.
	(this box should expand as you type)
3	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.
	(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/>).

1	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
	"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.	☐	☒
2	If YES, provide a description of the data and explain why this data needs to be collected:		
	(this box should expand as you type)		
3	Does it involve special category data (as defined by the GDPR)?	YES	NO
	"Special category data" means sensitive personal data consisting of information as to the data subjects' – (a) racial or ethnic origin, (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).	☐	☒
4	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)		
5	Will the research activity involve storing personal data and/or special category data on one of the following:	YES	NO
6	Manual files (i.e. in paper form)?	☐	☒
7	University computers?	☐	☒
8	Private company computers?	☐	☒
9	Home or other personal computers?	☐	☒
10	Laptop computers/ CDs/ Portable disk-drives/ memory sticks?	☐	☒
11	"Cloud" storage or websites?	☐	☒
12	Other – specify:	☐	☒
13	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:		
	(this box should expand as you type)		

14	All Data Storage		
15	Will the research activity involve any of the following activities:	YES	NO
16	Electronic transfer of data in any form?	☐	☒
17	Sharing of data with others at the University?	☐	☒
18	Sharing of data with other organisations?	☐	☒
19	Export of data outside the European Union or importing of data from outside the UK?	☐	☒
20	Use of personal addresses, postcodes, faxes, emails or telephone numbers?	☐	☒
21	Publication of data that might allow identification of individuals?	☐	☒
22	Use of data management system?	☐	☒
23	Data archiving?	☐	☒
24	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):		
	<i>(this box should expand as you type)</i>		
25	List all who will have access to the data generated by the research activity:		
	<i>(this box should expand as you type)</i>		
26	List who will have control of, and act as custodian(s) for, data generated by the research activity:		
	<i>(this box should expand as you type)</i>		
27	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.		
	<i>(this box should expand as you type)</i>		
28	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>		
	<i>(this box should expand as you type)</i>		
29	Confirm that you have read the UWTSD guidance on data management (see https://www.uwtsd.ac.uk/library/research-data-management/)	YES	☒
		NO	☐
30	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

31	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: 27-June-2021

For STUDENT Submissions:

32	Director of Studies/Supervisor:	WONG CHI HONG.	Date:
33	Signature:		

For STAFF Submissions:

34	Academic Director/ Assistant Dean:		Date:
35	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.

Notes for guidance in completion of this form

Section A: About You

Please complete all relevant sections

Section B: Approval for research activity

Research proposals must be approved in principle before applying for Ethical Approval. The proposal approval only becomes final when the ethical approval is received.

The process for proposal approval varies according to the individual and programme of study:

- Research students, by application on form PG1 to the Research Degrees Committee
- Taught students by review of research proposal within Institutes (Institutes provide specific details of these processes)
- Staff, by agreement by the Academic Director/Assistant Dean

Section C: External Ethical Guidance materials

Many discipline areas are required to operate with the discipline specific codes of research ethics (for example health, psychology, education etc.), any such codes must be listed and you must tick to confirm that you have consulted with these.

Section D: External Collaborative Research Activity

Provide details of the external collaborative partners, where appropriate you might want to submit a copy of the external collaboration agreement with the Ethical Approval Form. If the partner requires the research to be subject to its own internal Ethical approval process then please provide details of that process and a copy of any final (or interim) approvals received from the organisation.

Section E: Details of Research Activity

Remember that the individuals reviewing this Ethical Approval Form may not have seen your research proposal, and also may not be experts in the specific area of your research. The information provided should therefore be jargon free and clearly stated.

Indicative Title: please use the same title as used on the research proposal.

Purpose: the Ethical approval process will want to ensure that the methods you propose are adequate and appropriate to address the research aims and objectives. Excessive additional data collection can be seen as unethical.

Proposed Methods: the Ethical approval process seeks to ensure that you understand the methods that are intended, and that the implementation of those methods will be appropriate and without unnecessary impact on respondents. This section must explain how the methods described will lead to the collection of necessary and sufficient data, but not excessive data. Please be specific.

Location: this needs to mention geographical location and also local situation (for example, within Local Authority Offices in Cardiff, using a private room but close to other individuals). If you are collecting data within an organisational setting then you need to explain the permissions that you have obtained to do this.

Research Activity outside of the UK: please complete this section in detail, and note any guidance you have received. Also describe your own familiarity (or not) with the location that you will be utilising.

Section F: Scope of Research Activity

Please tick ALL of the research activities that might be undertaken. If any additional types of activity are intended then please add an extra box and describe these.

If you have answered no to all questions in F then sections G and I do not need to be completed. Signatures are still required in section K.

Section G: Intended Participants

Please tick all categories that might apply.

Numbers & Source: if you are using a series of different methods or research activities please list numbers for each stage/phase. Be clear about how you will find respondents. Will you use intermediaries, and if so how? How will you ensure compliance with your sampling strategy?

Information for participants: all participants should be appropriately informed about the research, what is expected of them and what will happen to the information that they provide. The Ethical review process does not ask to see this documentation, but requires this to be reviewed and approved by the Director of Studies in the case of research students, the supervisor/module tutor in relation to students on taught programmes and the Academic Director/Assistant Dean in relation to staff research.

Section H: Anticipate Risks

All research carries some level of risk. The answers you provide to questions in this section will be reviewed to ensure that you have an appropriate understanding of the type of risks involved and how you can mitigate against these risks. If you have completed a full risk assessment, as required for example for laboratory work, field work, clinical tests, diving operations, or by a collaborative partner, you may append that to this form. In that case, please tick the box indicating this has been provided. You will not then be required to complete Section H.

Risk to participants Think very carefully about how your actions/questions/discussions might affect the people you are involving as participants. You might identify the risk as small but it would still be a risk. Many types of question have the potential to make respondents less content with their life / job; you need to recognise and try to ameliorate any such effects

If these are business owners, time with you may reduce profit.

In some locations physical risk is very real to both participants and yourself, please consider this.

Risk to you, the researcher Think about where you will meet people, if there are any dangers involved in the location. If you are meeting people as individuals think about using a public place. In general do not visit people in their own homes or remote locations. If you are talking to individuals about certain issues think about how their responses might affect you emotionally. What about the risk of collecting insufficient data?

Risk to the University When undertaking your research, you are acting as a member of the University (student or staff). Professionalism is important, so it is important to be well organised and well prepared. Punctuality, clarity etc. are all part of this. What will you do to ensure this? You must ensure you do not harm the good name of the University in any way and do nothing to undermine the reputation of the research it conducts and sponsors. Upholding high standards of conduct and integrity are vital in this regard. You must also conduct the research in such a way to minimise the potential for claims of negligence made against the University, its researchers and any collaborating individual or organisation. In this respect you should always comply with ethical, legal and professional frameworks, obligations and standards as required by statutory and regulatory authorities, as well as the university's Research Integrity and Ethics Code of Practice. Research misconduct in this respect can take many forms, including:

- fabrication: making up results or other outputs (eg, artefacts) and presenting them as if they were real
- falsification: manipulating research processes or changing or omitting data without good cause
- plagiarism: using other people's material without giving proper credit
- failure to meet ethical, legal and professional obligations: for example failure to declare competing interests; misrepresentation of involvement or authorship; misrepresentation of interests; breach of confidentiality; lack of informed consent; misuse of personal data; and abuse of research subjects or material
- improper dealing with allegations of misconduct: failing to address possible infringements such as attempts to cover up misconduct and reprisals against whistle-blowers

Adverse Outcomes. Think carefully about the possibilities, and cover here

Section I: Feedback, Consent and Confidentiality

Feedback to participants: outline your approach. Will interview transcripts be shared with respondents to check accuracy? Will summaries of questionnaire analysis be made available to respondents in some way? Will an overview report be provided? How and when?

Informed consent: Draft letter / e-mail / or heading (or footer) section of questionnaire must be approved by DoS/supervisor (if research student), supervisor/module tutor if taught student, or Academic Director / Assistant Dean if a member of staff.

Confidentiality/Anonymity. Explain clearly how you will ensure confidentiality and anonymity.

Section J: Data Protection and Storage

Before completing this section it is necessary to read the University's Research Data Management information. The questions that follow are designed to ensure compliance with the Data Protection Act as well as established research protocols.

Many research activities will involve electronic transfer of data and use of data management systems in the summarisation and analysis of data. You will need to explain these in relation to compliance with the Data Protection Act.

Think carefully about who will have access to your data, this will include supervisors and examiners. Also that a thesis will be made available via the University library and the British Library system. If you are seeking an access bar for a period of time after completion then mention it here. If you will provide a copy of your findings, or intend to give a presentation, to a facilitating/ supporting/accessing organisation then explain that in this section. But also think about the general principle of data sharing, as explained in the Research Data Management information.

In terms of storage of data please ensure security, and also mitigate against loss of data.

Section K: Declaration

Ensure the appropriate countersignatures have been provided

Look carefully at the checklist and ensure that you comply with and tick all that are relevant to your research.