ETHICS APPROVAL FORM

(UNDERGRADUATE STUDENTS – ENGLISH LITERARY STUDIES/CREATIVE WRITING)

This form is designed to identify and address ethical issues that may arise in undergraduate research in literary studies and creative projects. It applies to projects involving human participants, information about living individuals, or other activities that may raise ethical concerns (e.g., interviews, surveys, focus groups, observations, creative workshops, social media interactions, photographs, audio/video recordings, oral histories, archival materials, or unpublished materials).

Before completing this form, students should discuss their project with their course instructor or supervisor.

How to Use This Form
This form has two review tracks:

Simplified Track
Projects that involve no human subjects, or only minimal-risk activities that meet the criteria for exemption or simplified review, will normally follow the simplified review track.

1. Complete Section A.
2. Skip to Section C and sign.
3. If the supervisor approves the project under the simplified review track, no further information is required and the project may proceed.

Additional Information Track
Projects involving human participants, vulnerable populations, sensitive topics, identifiable personal information, recordings, or other significant ethical considerations may require additional review.

1. Complete Sections A, B, and C and submit the form to your supervisor.
2. If the supervisor determines that the project requires further ethical consideration, you will be asked to provide additional information and documentation.
3. Approval may be granted after revisions or additional review have been completed.

Do NOT begin recruiting participants, collecting data, or conducting research activities requiring ethics approval until the required review process has been completed.
Student Responsibility

Approval by the Department or Supervisor does not transfer responsibility for the ethical conduct of the project. Students remain responsible for protecting the rights, dignity, privacy, confidentiality, and safety of participants and for complying with applicable University ethical requirements throughout the project.

For guidance on research ethics, please consult:
- https://www.gs.cuhk.edu.hk/download/VII-C.pdf
- https://www.research-ethics.cuhk.edu.hk/orktsResearch/

Section A. PROJECT SUMMARY

A1 PARTICULARS

Student Name (Last Name, First name, Middle name):	
CUHK ID:	
Course code and title:	
Title of the project:	
Type of project	☐ coursework ☐ Capstone project (ENGE 4700, ENGE 4701/ 4702) ☐ others, please specify: _____

A2 HUMAN SUBJECTS AND ETHICS DECLARATION
Please select **one** of the following:

☐ **Category 1 – No Human Subjects and No Significant Ethical Concerns**
This project does not involve human participants, identifiable information about living individuals, or other significant ethical concerns. Examples include literary analysis, textual analysis, theoretical research, analysis of published works, or creative work that does not involve data collection from living individuals.

☐ **Category 2 – No Human Subjects, but Potential Ethical Considerations**
This project does not involve human participants, but may involve ethical considerations requiring review. Examples may include:

- Use of unpublished, private, or restricted materials;
- Analysis of potentially identifiable online content;
- Use of photographs, audio, video, or archival materials where permissions or privacy issues may arise;
- Research involving culturally sensitive materials or communities;
- Research involving potentially distressing, offensive, illegal, or harmful content;
- Other ethical issues not involving direct interaction with human participants.

☐ **Category 3 – Human Participants and/or Human-Subject Data**
This project involves human participants and/or information about living individuals, including surveys, interviews, focus groups, observations, recordings, social media interactions, creative workshops, or collection of personal information.

A2. Potential Eligibility for Exemption or Simplified Review

☐ Educational research involving routine educational practices and **adult** participants only.
☐ Surveys, interviews, educational tests, or observation of public behaviour involving **adults** with minimal risk (non-vulnerable groups, etc.) and no identifiable data.
☐ Benign behavioural interventions involving consenting **adults** with minimal risk.
☐ Secondary analysis of publicly available or de-identified data involving **adults** with minimal risk.
☐ Minimal-risk research involving **adult** participants only.
☐ None of the above / Not applicable (need to go through further review/explanation)

Instructions

- If you selected Category 1, proceed directly to the Declaration and Signature section.
- If you selected Category 2 or Category 3, complete the following sections and submit the form to your supervisor for review.
- If "None of the above / Not applicable (requires further review and explanation)" is selected in Section A2, you must also complete the rest of the form before the application can be further reviewed.

Section B. ADDITIONAL INFORMATION

B1 Introduction and purpose of the study (what is your project about? What is its purpose?) (maximum 200 words):

B2 Methods of data collection (context, tools/techniques, procedures, activities, duration etc.) (maximum 200 words)

B3 Participants (who are the participants? How many? How do you contact and recruit them? If you are collecting data from minors and vulnerable/special needs people (e.g., people with disability, mental illness), you should take consent from their parents/caregivers/guardians etc.) (maximum 200 words)

B4 Consent Describe your plan for obtaining informed consent from participants. Explain how participants will be informed about the purpose of the study, the activities involved, any recording or data collection procedures, their right to refuse participation or withdraw from the study, and how their privacy, confidentiality, and anonymity will be protected.

Indicate the form of consent you intend to use:
☐ Written consent
☐ Oral consent
☐ Online consent (e.g., click-through consent)
☐ Parent/Guardian consent (for minors or vulnerable participants)
☐ Other: _____

If oral consent will be used and conversations or activities will be recorded, explain how participants will be informed and how their consent will be documented.

Please attach copies of all relevant consent, assent, and participant information documents.

Section C Declaration and signature

By signing this form, I confirm that the information provided is true, accurate, and complete to the best of my knowledge. I agree to conduct this project in accordance with the research ethics policies, guidelines, and applicable requirements of The Chinese University of Hong Kong (CUHK). I understand my responsibility to protect the rights, dignity, safety, privacy, and confidentiality of all participants and to obtain any necessary approvals before commencing research activities. I further acknowledge that departmental, course, or supervisory approval does not exempt me from complying with applicable ethical requirements or from my responsibility to conduct the research ethically.

Name of the student	**Signature of the student**	**Date signed**

After completion, please send this signed form (Sections A to C or A and C) to your supervisor's email and wait for review results and approval (if given).

Section D. Supervisor Ethics Screening
(To be completed by the Course Instructor / Supervisor after reviewing Section A and the supporting documents in Section B)

Review Outcome

Please select one:
☐ ***Approved.*** The ethical considerations associated with this project have been adequately addressed. The student may proceed with the project as described.
☐ ***Approved with Minor Revisions.*** The student may proceed after addressing the comments and recommendations below to the satisfaction of the supervisor.
☐ ***Major Revisions Required.*** The student must revise the application and resubmit it for further review before commencing the project.
☐ ***Not Approved.*** The project may not proceed in its current form.

Comments

Supervisor Declaration
By signing below, I confirm that I have reviewed this application and the accompanying materials. To the best of my knowledge, the ethical considerations associated with this project have been appropriately considered and addressed. I have provided my recommendations regarding the level of ethics review required. This endorsement does not replace or supersede any additional ethics review or approval that may be required by the Department, Faculty, University, or relevant ethics committee.

Name of the instructor/supervisor	**Signature of the instructor/supervisor**

Important Note to Students
Approval by the Department, course instructor, supervisor, or reviewer does not transfer responsibility for the ethical conduct of the project. Students remain responsible for conducting their research in accordance with applicable ethical requirements and for protecting the rights, dignity, privacy, confidentiality, and safety of all participants. Particular care should be taken during fieldwork, data collection, data storage, and dissemination of findings to ensure that participants are not exposed to unnecessary risk or harm.

Once signed and approved, please submit the fully signed form to English@cuhk.edu.hk and your supervisor's email.