

## Summary of Application for Full Ethical Review - Student Project (2020-21 CIR 5)

### Project(s) from the Department of CAH, COM & SS

App.	Dept./Level	Project title	Participants involve	Expose participants to any risk?	The study involves	Consent to be obtained	Corresponding arrangements by PI/Student
1	CAH / Bachelor's Degree	Transgenders in Hong Kong	Approximately 2 participants aged 18-65 years identify themselves as transgender in Hong Kong.	Risk of stress, emotional distress or other form of psychological discomfort.	This study involves sensitive aspects of the participant's own behaviour such as illegal conduct and sexual conduct and the collection of identifiable or personal information (email address)	Via participant consent form, and agreement of the use of audio recording	<ul style="list-style-type: none"> <li>- Background of the research and questions will be explained during the interview. Subjects can preview and give comment if they feel discomfort with particular question. Subjects could reject certain questions when being asked and to exit the interview whenever they wish.</li> <li>- Audio recording will be used only for collecting interview data and will not be publicized. Anonymity will be granted by using code name or pseudonym. Information collected will be securely stored in password-authenticated computer only available to the student investigator.</li> <li>- All data will be deleted immediately after the completion of the project on the 1<sup>st</sup> of May, 2021.</li> </ul>
2	CAH / Bachelor's Degree	The factors of illegal immigration to Hong Kong during the Cultural Revolution	Approximately 2 middle-aged participants in Hong Kong.	Other risk: historically sensitive/illegal conduct	This study involves sensitive aspects of the participant's own behaviour (illegal conduct – they were illegal immigrants at the time).	Via participant consent form	<ul style="list-style-type: none"> <li>- The risk shall be minimal, although subjects were illegal immigrants during the Cultural Revolution, they have already obtained Hong Kong's legal status.</li> <li>- The student will explain that they were illegal immigrants at that time. While they obtain the Hong Kong permanent resident status already, historically speaking the interview may involve sensitive aspect or illegal conduct at the time.</li> </ul>
3	CAH / Bachelor's Degree	The Immigration History: From Mainland China to Hong Kong	Approximately 2 participants aged 60-70 years in Hong Kong.	NA	This study involves sensitive aspects of the participant's own behaviour (illegal conduct – their illegal immigration experience during a historical time period).	Via participant consent form	<ul style="list-style-type: none"> <li>- No personal information will be disclosed in the research. There is no criminal or civil liability risk since the subjects already had the Hong Kong permanent identity legally.</li> </ul>

<b>App.</b>	<b>Dept./Level</b>	<b>Project title</b>	<b>Participants involve</b>	<b>Expose participants to any risk?</b>	<b>The study involves</b>	<b>Consent to be obtained</b>	<b>Corresponding arrangements by PI/Student</b>
4	COM / PhD	Message modalities for disinformation news content and their effects on memory: Lessons from the 2021 U.S Capitol riot	Approximately 600 participants aged 18 years above in US.	Risk of deception (participants will be exposed to misleading Information)	This study involves misleading and untruthful claim of the news content	Via participant consent form	<ul style="list-style-type: none"> <li>- A debriefing will be given at the end of the survey/experiment and inform the subjects that they were exposed to disinformation.</li> <li>- Participants will also be advised to read/watch news on the riots from impartial news sources should they need a deeper understanding of the issue.</li> </ul>
5	SS / Master's Degree	Intervention for fathers of reactive children aggressors in Hong Kong: Study of anger expression and father-child relationship	Approximately 20 participants aged 6-16 years with reactive aggressive behaviors at school, and their fathers in Hong Kong.	NA	This study involves participants who do not possess the legal capacity to provide valid informed consent (i.e. children under 18).	Via participant consent form	<ul style="list-style-type: none"> <li>- No identifiable or personal information will be collected.</li> <li>- No information regarding identity will be marked in the audio recording.</li> <li>- Access will be restricted to person related to the study.</li> <li>- All data will be destroyed 3 years after the completion of study.</li> </ul>
6	SS / Master's Degree	Explicit Self-esteem, Implicit Self-esteem and Relationship Satisfaction	Approximately 150 participants aged 18-50 years university students from two universities in Hong Kong who are currently in an intimate relationship.	NA. The implicit association test is to assess the attitudes and perception of participants based on their instant responses.	Although there is no deception, it may not look clear to the participants what this test is assessing.	Via participant consent form	<ul style="list-style-type: none"> <li>- The participant information sheet will indicate this study included implicit self-esteem and their rights were fully explained in the information sheet.</li> <li>- All data will be destroyed 6 months after the research is completed.</li> </ul>

<b>App.</b>	<b>Dept./Level</b>	<b>Project title</b>	<b>Participants involve</b>	<b>Expose participants to any risk?</b>	<b>The study involves</b>	<b>Consent to be obtained</b>	<b>Corresponding arrangements by PI/Student</b>
7	SS / PhD	Informal caregiving for older people in Nigeria	Approximately 40 participants comprising of 30 caregivers aged 18 years and above, and 10 elderly aged 65 years and above in Nigeria.	NA	This study involves financial incentives; collection of personal information (name and phone number); and re-identification of personal data.	Via participant consent form, and agreement of the use of audio recording	<ul style="list-style-type: none"> <li>- Incentives in form of gift items will be given to each participant as a compensation for time and resources spent for the study.</li> <li>- Re-identification of personal data is possible as the research student has an informal relationship with some of the participants.</li> <li>- The audio-recording will be erased once the transcription is finished. Subsequent analysis will be based only on the transcribed text. Subjects will be given pseudonyms and personal details will be removed from the transcript.</li> <li>- Access to the data will be restricted by ensuring no third-party has access to them. All personal data will be deleted immediately after the study is completed in April 2023.</li> </ul>

**CITY UNIVERSITY OF HONG KONG  
RESEARCH COMMITTEE**

**Human Research Ethics Checklist**

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <https://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English. No data collection or analysis can be commenced before obtaining ethics approval.
- In addition to the human research ethics, applicants are reminded to comply with the University's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

For **staff applications**, the completed form should be forwarded to **RO**.

For **student applications**, the completed form should be forwarded to **College/School Human Subjects Ethics Sub-Committee** via respective College/School offices

**Part A: Basic Information**

Please check as appropriate:

- |   |  |
|---|--|
| <input type="checkbox"/> Staff Application    | <input checked="" type="checkbox"/> Student Application*   |
| <input checked="" type="checkbox"/> New Study | <input type="checkbox"/> Continuation of the approved study<br>(please provide approved ethics application no.: _____) |

Title of Research/Student Project:	<u>Transgenders in Hong Kong (CAH 3862 Assignment)</u>
Name of Principal Investigator (PI)/Supervisor*:	<u>Dr. LUO Yu</u>
Department:	<u>CAH</u>
Email/Tel:	<u>yuluo9 / 2426</u>
Co-Investigator(s): (Name and Unit/Organization)	
Grant Type, if any	
Proposal/Project No., if any	

**For Student Project\***

Name of Student Investigator (Dept)	<u>Sin Karl Ho</u>
Study programme (Bachelor's Degree, MPhil, PhD etc. Please specify)	<u>CAH Bachelor of Arts, Cohort 2019</u>

\* In the case of student research, the supervisor assumes this responsibility

## **Part B: Research Methods and Other details**

### i) **Research Method and Source of Data**

Please check that apply:

- Interview  
 Observation  
 Survey  
 Focus Group  
 Ethnographic  
 Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing, academic records, personal documents))  
 Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_  
 Data linkage  
 Intervention  
 Action research  
 Experimental procedures  
 Human Cells and Materials  
 Drugs or isotopes  
 Epidemiological  
 Blood sampling  
 Laboratory study on stored samples  
 Clinical Trial  
 Others: Please specify \_\_\_\_\_

### ii) **Where will the data collection/experiment take place?** Please specify the place, region or country.

\_\_\_\_\_ Hong Kong \_\_\_\_\_

### iii) **Will the external co-investigator be responsible for data collection at their institution?** If yes, please provide the proof of ethics approval from the relevant affiliating institutions.

\_\_\_\_\_ N/A \_\_\_\_\_

### iv) **Is outsourcing of research work or subcontract activity required for the project?**

- Yes       No

If yes, please specify the work to be conducted by the service providers and what measures to be taken for ensuring the compliance with the CityU's ethical standard by the service provider:

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(Note: The PI should undertake the responsibility for ensuring the compliance with the CityU's ethical standard by the service provider for the said outsourcing or subcontracting activities.)

### v) **Is ethics approval from other authorities required? e.g., Hospital Authority.**

- Yes       No

If yes, please indicate the names of the approval authorities and provide a copy of the approval document. If such approval is not available at the time of the ethics application, please provide the reason and indicate the timelines of obtaining such approval.

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### **Part C: Ethical Issues**

To determine whether an expedited review or a full review is required, please check the following items and forward to your Head of Department for endorsement.

If you have checked “yes” to any of the items below, you must go through a full review. Please fill in the completed checklist (Form A) **AND** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>.

		Yes	No	Please provide relevant information under each item to facilitate consideration for an expedited review
1	Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate in the study (e.g. children under a certain age which requires parental/guardian custody by law (i.e. under the age of 18 in Hong Kong), people with developmental disabilities)? If so, parental/guardian consent must be obtained.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
2.	Will deception of participants e.g. misleading participants be necessary during the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
3.	Will financial inducements/incentives (other than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned) be offered to participants?  If so, please specify details e.g. value, in cash or in kind, the usual rate for the discipline concerned and applicable precedent cases	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
4.	Will the study involve sensitive aspects of the participant's own behaviour such as illegal conduct, drug or alcohol use, and sexual conduct?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The project will involve some personal aspects in terms of sexuality, personal life and relationship.
5.	If the observations on the participants are disclosed, will it reasonably place the participant at risk of criminal or civil liability or be damaging to the participant's financial standing, employability, or reputation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

6.	Will the study/experiment induce psychological stress?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The project may cause minor discomfort or emotional stress. But informants will be fully informed about the objectives of this research and retain the right to reject certain questions when being asked and to exit the interview whenever they wish.
7.	Is pain or discomfort likely to result from the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
8.	Will the study involve prolonged and repetitive testing sessions which result in pain, fatigue, other form of physical discomfort, danger, physical harm or medical risks or other risks?  If so, please explain the duration and the times of the testing sessions.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
9.	Will the study involve the collection of identifiable or personal information (i.e. information that is not anonymous) from participants? Is re-identification possible during the data extraction process of using a unique identifier such as human cells or personal data?  If so, explain, a) whether sensitive or private information, including contact details will be collected, b) how confidentiality of the information collected will be maintained, c) the arrangements for the disposal of electronic and physical records when the research project is completed and d) the timing of such disposal.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Informants will be contacted via email – the contact info is provided by members of an NGO that intends to help and support the transgender community in Hong Kong. Audio recording will be used only for collecting interview data; it will not be publicized. Anonymity will be granted to all participants using code name or pseudonym. Information collected for this study will be securely stored in password-authenticated computer only available to the student investigator. All data will be deleted immediately after the completion of the project on the 1 <sup>st</sup> of May, 2021.
10.	Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

If you have checked “yes” to any of the above items, you must go through a full review. Please fill in the completed checklist (Form A) **and** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm> In general, a full review is not required for:

- a. research studies that are based entirely on authorized use of publicly available information, documents, records, works, performances, or archival materials
- b. research studies that involve only surveys or observation of officials/individuals in the public arena in a public capacity.

- c. studies that involve identifiable participants but no sensitive or private information will be collected.

#### **Part D: Checklist of attachments:**

- Research Proposal / plan / activities (in English)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- (i) Sample of the consent form for Human Subjects; and - (ii) Sample of the Agreement of the Use of Photography, Audio/Video Recording (if applicable)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
(Note: The sample(s) of the consent form and/or the agreement for the use of photography, audio/video recording must be appended to this ethics application unless no human subject/participant is involved.)		
- Signed confidentiality pledges by PI and/or team members	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Evidence of ethics approval from external investigator(s) or collaborator(s) (Part B (iii) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A
- Evidence of ethics approval from other authorities (Part B (v) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A

#### **Declaration**

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to conduct the research and/or activities in compliance with the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

I confirm that any service provider(s) involved with the project have in place appropriate policies which are compliant with the ethical requirements and standards of CityU. I undertake responsibility for ensuring compliance with the CityU's ethical requirement/standard during the project.



February 10, 2021

Signature  
(Principal Investigator/Supervisor\*)

Date

**To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of information provided and declaration of the PI/Supervisor.



22 Feb 2021

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Signature  
( Head of CAH )

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Date

Checklist for Human Ethical Review (April 2020)

CITY UNIVERSITY OF HONG KONG**FORM B**Research Committee**APPLICATION FOR ETHICAL REVIEW (FULL REVIEW) OF STAFF/STUDENT'S  
HUMAN RESEARCH**

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English.
- For the full ethical review application, please submit this application (Form B) together with the completed checklist (Form A) and other documents requested in the Checklist of attachments.
- In addition to human research ethics, applicants are reminded to comply with the university's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

**Part A: Basic Information**

Please check as appropriate:

- |   |  |
|---|--|
| <input type="checkbox"/> Staff Application    | <input checked="" type="checkbox"/> Student Application*   |
| <input checked="" type="checkbox"/> New study | <input type="checkbox"/> Continuation of the approved study<br>(please provide approved ethics application no.: _____) |

1) Title of Research Project

Transgender in Hong Kong

2) Principal Investigator / Supervisor\*

Name	Dept/Unit	Post	Tel. No.	Email
Dr. LUO Yu	CAH	Assistant Professor	34422426	yuluo9@cityu.edu.hk

Co-Investigator(s)

Name	Dept/Organization	Tel. No.	Email
1. _____	_____	_____	_____
2. _____	_____	_____	_____

Student Investigator (applicable to student project\* only)

Name	Dept/Unit	Programme	Email
Sin Karl Ho	CAH	CUHM	karlsin2-c@my.cityu.edu.hk

- \* In the case of student research, the supervisor assumes this responsibility.

### 3) Type of Project

Grant Type, if applicable \_\_\_\_\_

Other (please specify) \_\_\_\_\_

Funding Agency (if applicable) \_\_\_\_\_

Thesis Research

PhD \_\_\_\_\_ MPhil \_\_\_\_\_ Bachelor's Degree  X

## **Part B: Proposal/Project Details and Methodology**

### 1) Objectives and Details of Procedures / Methodology

#### (a) Aims and Objectives

Through investigation the lives of transgender in Hong Kong to know the difficulties and marginalisation they face in Hong Kong society.

#### (b) Research Methods and Source of Data

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing , academic records, personal documents))
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify \_\_\_\_\_

(c) Details of Procedures / Methodology

- Interview with the participants around 1-2 hours.
- Analyse and conclude their words into report
- Analyse their own experience with existing Hong Kong documents

2) Participant(s) Involved in the Research

(a) approximate number

2

(b) age group

18 - 65

(c) how obtained/recruited

Through E-mail (contact information provided by members of an NGO that intends to help and support the transgender community in Hong Kong)

(d) vulnerable research participants

- (i) Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate (e.g. children under a certain age which requires parental/guardian custody by law, people with developmental disabilities)? If so, please specify the details of the vulnerability. Please attach parental/guardian consent form and a copy of the assent form for the vulnerable subjects who are able to express their willingness consent. (Corresponds to Question 1 of Form A)

No

- (ii) If the research involves young children or vulnerable adults who require supervisory arrangement , please specify the details of the supervisory arrangements that put in place to ensure their safety and comfort during their interaction with the researcher, e.g. the presence of the parent, teacher or a social worker. Please explain the reasons if no such arrangement is in place.

- (e) Are there any inclusion and / or exclusion criteria for the participants? Please provide details, if any.

Yes, as they need to identify themselves as transgender. But they may not have to complete or intended to do the sex reassignment surgery.

(f) How long will it take for each participant to do lab tests or be involved, over the period?

The participants may be involved around 1 to 2 hours to complete the interview session.

(g) Will there be any payment/incentive made to the participants? Will financial inducements/incentives higher than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned be offered to participants? If so, please specify details, e.g. value, in cash or in kind, the usual rate for the discipline concerned, and precedent cases in prior published studies. (Corresponds to Question 3 of Form A)

No

(h) Are there any possible benefits other than incentive payment to participants?

They may get to educate public about transgender which they may value this opportunity than the monetary incentive.

(i) Where will the data collection/experiment take place? Please specify the place, region or country

The data collection will be conducted in Hong Kong.

(j) Who will perform the data collection? If external co-investigator(s) will be responsible data collection at their own institution or country, please provide the proof of ethics approval from the relevant affiliating institutions.

The student investigator will perform the data collection with the participants.

(k) information on whether the researcher(s) is/are in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee. If yes, please state details about the conflict of interest and how that potential conflict can be addressed.

No, the position of power with the participants are in equal status.

(l) Is approval from other authorities required?

No

3) Answer each of the following questions "Yes" or "No"

Do your procedures expose your participants to any risk of :

<u>Yes</u>	<u>No</u>	<u>Type of risk</u>
<input type="checkbox"/>	<input checked="" type="checkbox"/>	- deception ....
<input type="checkbox"/>	<input checked="" type="checkbox"/>	- invasion of privacy .....
<input type="checkbox"/>	<input checked="" type="checkbox"/>	- criminal or civil liability
<input type="checkbox"/>	<input checked="" type="checkbox"/>	- damaging to the participant's financial standing, employability, or reputation...
<input checked="" type="checkbox"/>	<input type="checkbox"/>	- stress, emotional distress or other form of psychological discomfort.....
<input type="checkbox"/>	<input checked="" type="checkbox"/>	- pain, fatigue, other form of physical discomfort, danger, physical harm or medical risk.....
<input type="checkbox"/>	<input checked="" type="checkbox"/>	- noxious stimulation/procedure.....
<input type="checkbox"/>	<input checked="" type="checkbox"/>	- re-identification during data extraction process or using a unique identifier, personal data...etc
<input type="checkbox"/>	<input type="checkbox"/>	- other risk(s) (please specify) : _____

4) If you have answered "Yes" to any of the above questions in Part B(3), please complete 4(a) to 4(e):

Estimate the degree of risk involved (e.g. to assess the level of psychological stress that will be induced, who will evaluate it or what psychological test/tool will be used to evaluate it)

The student investigator will be responsible to evaluate the stress of the participants. Measures may be taken when the participants feel uncomfortable with the questions or the interview. Student investigator may stop the interview and resume the next meeting in around 30 minutes so the participants can decide whether to continue the interview.

(a) Describe the steps/measures you will take to minimize the risk and to protect your participants from the risks.

Some background researches will be conducted before the interview to know more about the transgender community and the participants. So the questions will avoid anything that they would not want to talk about, in order to lessen the emotional discomfort for the participants.

(b) How will you explain the risk to your participants?

Student Investigator may inform them about the background of the research and explain the questions which may be asked during the interview. So the participants can preview them and give comment if they feel discomfort with particular question.

(c) How will you obtain their consent to take part in the research?

Student Investigator may collect their consent through the consent form attached. The form will be sent via e-mail and filled in before the interview.

- (d) Describe how the participants will be debriefed after the study. What feedback of findings will be offered to participants, e.g. access to transcripts of interviews, drafts or final reports?

The participants may receive the draft of the report before handing in for the assignment in case of any miscommunication. They may also receive the report after the completion of the project.

- 5) Are there any possible risks to the health or safety of the researcher(s) or the field staff when undertaking the research? If yes, please specify the potential risks and what precautions or measures to minimize the risks.

No.

- 6) Will you collect identifiable or personal information? (Corresponds to Question 9 of Form A)

Yes       No

Is re-identification possible during data extraction process or using unique identifier?

Yes       No

If you answered "Yes" to the previous questions, please complete 6(a) to 6(e):

- (a) Describe the type of identifying data you will collect (e.g. name, ID card, email address...) and/or describe how likely the re-identification is possible.

The participants' email address may be collected for the purpose of contact. It is unlikely to be re-identified without other personal or identifiable information.

- (b) Will image, photography, video-recording or audio-recording be collected or used during the study? Please specify details.

Audio recordings will be used for collecting interview data only with the consent from the participants; but they will not be publicized.

- (c) How will you collect these identifying data, photography, video/audio-recording? What is the purpose for collecting these data? How will you use these data?

They will be collected through the student investigator's password-authenticated cell phone. The purpose of the collection of data is to understand this particular community to increase awareness. The data will be used to write up course assignment.

- (d) What procedures will you follow to make sure that your participants cannot be identified or re-identified?

Anonymity will be granted to all participants using code name or pseudonym.

- (e) What precautions will you take to ensure the security of the data, e.g. restricting access to authorized personnel, signed confidentiality pledge or undertaking by data users, data storage strategies, encryption, offline storage? Please provide details and justifications for photography, video or audio recording and storage strategies, if applicable.

Information collected for this study will be securely stored in password-authenticated computer only available to the student investigator.

- (f) How and when will you dispose of these identifiable/personal data? Please describe the arrangements for the disposal of electronic and physical records and the timing of such disposal.

The personal data including the audio recording will be deleted immediately after the completion of the project on the 1<sup>st</sup> of May, 2021.

**Important Note:** If sensitive or private information will also be collected, please check whether “invasion of privacy” in Question 3 is one of the risks.

7) Future use and sharing of research data / materials

Is there any possibility that the personal date / research data / materials collected in this project will be used in any future related or unrelated research by the applicant or shared with other researchers or made it available for use by the funders?

If yes, please describe what type of data will be used in the future, how the data will be used, how confidentiality be maintained, who will have access and how the participants’ consent will be sought, will the raw data be anonymised?

8) Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies? (Corresponds to Question 10 of Form A)

Yes       No

If yes, please complete the following questions and the attached Supplementary Information for Clinical or Biomedical Research Ethics (Appendix I).

(a) Does the research involve Human Subjects who are alive? How and where will the study and/or data collection be conducted? If human tissues or fluids will be collected, please indicate the exact amounts and frequency with which the samples will be taken.

(b) Will biological materials such as human tissues, microbial isolate and human genetic materials (DNA, RNA) be used? How will the data be collected or obtained?

(c) Will the biological materials be destroyed? When will these materials be destroyed?

If no, please provide reason and indicate where and how materials / data will be stored, how long the data will be stored, who can access the materials/data, permission has been given for the storage of the these materials.

(d) Will the biological materials be used for other related and/or unrelated research by the applicant and/or other researchers in the future? If yes, does the consent form inform the participants about this? Has the permission been given by the data owner?

(e) Will the biological materials be exported other site(s), locally or internationally? If yes, please explain the reasons and whether the local laws, permission and customs has been addressed.

(f) Is there any possibility for genetic research? Please explain what this is and any implications.

(g) Is clinical trial on human being required? Will any medicine / intervention be tested during the investigation? If yes, has approval for the certificate for clinical trial been obtained? If no, PI should undertake hereby to register the clinical trial certificate and provide the committee of the approval before the commencement of the project.

(h) Will any outcome of tests or research etc be communicated to the research subject(s) involved? In the event that any direct medical benefit for a particular research subject, will the researcher communicate to the research participant?

(i) Will any radioactive or biohazardous materials be used during the investigation? If yes, please provide detail of the materials.

- (j) Does the project involve the use of diagnostic test results or medical records (e.g. those obtained by imaging or by laboratory testing)? How and where the data be collected or obtained? Is the data anonymous? Is re-identification possible?

- (k) Please state the anticipated benefits or risks of the study.

**9) Checklist of attachments:**

- |   |   |   |
|---|---|---|
| • Research proposal / plan / activities   | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Participant consent form and / or Assent for the vulnerable subjects / minors.  | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Parental/Guardian Consent Form (ref. Part B(2)(d))  | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Signed Confidentiality Pledge by the Principal investigators (PI) and/or research team members and sample copy of the confidentiality pledge to be used for this project. Please refer to Annex 1 in the guidelines for the sample of the pledge. | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Supplementary Information (Appendix I) for Clinical or Biomedical Research Ethics (ref. Part B(8)), the template form (Appendix I) is enclosed in the following page.   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Copy of ethics approval from other authorities or collaborating institutions, if applicable   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Copy of clinical trial certificate, if applicable   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |

**Declaration**

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to adhere to the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.



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Signature  
(Principal Investigator/Supervisor)

---

February 10, 2021

Date

To be Completed by Head of Department / Line Manager

I endorse this application on the basis of the information provided and the declaration of the PI/Supervisor.



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22 Feb 2021

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Signature  
( Head of CAH )

Date

Full Form for Human Ethical Review (April 2020)

**Annex 1**  
**(SAMPLE)**

**Confidentiality Pledge**

Grant Type: \_\_\_\_\_

Project/Proposal No.: \_\_\_\_\_

Project/Proposal Title: Transgenders In Hong Kong

Principal Investigator/Supervisor: Dr. LUO Yu \_\_\_\_\_

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Name: Sin Karl Ho Staff/Student No: 552702550 Your number 94374682

Department: CAH Organization: \_\_\_\_\_

Capacity (PI/Co-I/Research Staff):

**Confidentiality Pledge**

I understand that I am granted access to sensitive personal data / project data. To ensure that the information is used and handled by authorized personnel only, I hereby pledge that I shall use the data in accordance with the provisions of the Personal Data Privacy Ordinance and according to the policies, procedures and guidelines established by the University from time to time. I shall not disclose such information to any person except on a need-to-know basis. I will take all reasonable precautions within my control to prevent unauthorized access to such information.

Signature: \_\_\_\_\_ Date: 5/2/2021 \_\_\_\_\_



**To be completed by Principal Investigator / Supervisor:**

I endorse the right to access the sensitive data of the project.

Principal Investigator / Supervisor:  Date: Feb 10, 2021 \_\_\_\_\_

## **Research Plan**

Project title: Transgenders In Hong Kong

Name of Students: Sin Karl Ho

Name of Supervisor: Dr. LUO Yu

Department: Chinese and History

### Introduction / Research Background:

In Hong Kong, there are much misunderstandings and bias about transgenders. Hong Kong mainstream media often uses misleading information and presentation towards transgenders. The stereotype is formed under the media influence. And the research is hoped to bring more objective view to increase understanding of their lives.

### Research Objectives:

- Understand Hong Kong transgenders' career, romance, family relationship
- Demonstrate difficulties and marginalization Hong Kong transgenders face in Hong Kong society

### Research Method:

Initial contact will be made through people operating and working at an NGO that intends to help and support the transgender community in Hong Kong

Target interviewees: transgenders who work in the NGO, who live in Hong Kong, and who have given consent to participate in this research

## Research Consent Form

**Research Title :** Hong Kong Trans Genders

**Main Investigator :**

Name : Sin Karl Ho

Education Institute : City University of Hong Kong

Department : Department of Chinese and History

Tel : 94374682

Address : 4702, 4/F, Li Dak Sum Yip Yio Chin Academic Building,

City University of Hong Kong,

Tat Chee Avenue, Kowloon, Hong Kong SAR

Cell Phone Number : 94374682

E-mail : karlsin2-c@my.cityu.edu.hk

**Invite Participants :**

This research's participants mainly are Hong Kong local transgenders, to fulfill the aim as investigation on difficulties and suppression transgenders face in the Hong Kong society. Through first person perspective, they would be able to give more accurate information about this community.

**Brief of the Research :**

Aim: This research is aimed to educate public about the presence of transgender in Hong Kong and educate them with non-biased information. Through the research, it is hoped that the general public would be encouraged to have more awareness of Hong Kong transgenders.

Progress: This research may not only study previously published academic papers, but also the interview content as the basic of the research. Investigator may use face-to-face format to conduct the interview and may include topics: personal life, career, romance, family relationship. The interview will be audiorecorded and written, every participant will participate in 120 minutes interview. The recording and written report will just authorized to access for research investigators and research participants. Information collected for this study will be securely stored in password-authenticated computer only available to the student investigator. All data will be deleted immediately after the completion of the project on the 1<sup>st</sup> of May, 2021.

**Risk and Fee :**

Participating in this research will not trigger any psychological stress and discomfort nor any risk and negative impact. You can refuse to not to answer some of the questions or not satisfied with the questions; under this circumstances, you can freely refuse to answer or drop out from the research. Although this research will not be beneficial for you as an individual, but the research result can let general public to know more about social issues of Hong Kong's transgenders. The participants of the research and interviewee may receive a hard copy of the research's written report.

**Participants' Rights :**

Participants are voluntarily join the research during the research conduction, but also perceived the right to drop out of the research and have no responsibility to bear any fines, negative impacts and monetary lost.

**Privacy and Classification :**

All materials provided would just use for accomplishing the research by the participants during the research period. Unless gained the consent from the participants beforehand or in response to legal reasons, all identical information and identity will not be disclosed and being classified.

Anonymity will be granted to all participants (interviewees) using code name or pseudonym to ensure their identity being classified. The identity and information including the recording, interview content may be stored in password-authenticated computer.

**Enquiry :**

If the participants have any questions, please contact the main investigator Sin Karl Ho, contact methods including : calling 94374682, or e-mail to karlsin2-c@my.cityu.edu.hk , or e-mail to the Research Supervisor Dr LUO Yu at yuluo9@cityu.edu.hk.

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**Reply Slips**

I have read through all the details and understand the process of the information collection and the information as mentioned.

I will / will not \*\* participate in “Hong Kong Transgenders” research.

( \*\*Please cross out the not suitable option )

I give consent:

- To be audiotaped during the study. \_\_\_\_\_ Yes \_\_\_\_\_ No
- For audiotapes and files resulting from this study to be used solely for academic research purposes. \_\_\_\_\_ Yes \_\_\_\_\_ No
- For my identity not to be revealed in oral or written materials resulting from this study. \_\_\_\_\_ Yes \_\_\_\_\_ No

Signature of the Participants

Name of the Participants

Date

## 研究同意書

研究題目：香港跨性別研究

### 主要研究者：

姓名：冼嘉浩

機構：香港城市大學

學系：中文及歷史學系

聯絡資料：94374682

地址：香港九龍達之路香港城市大學李達三葉耀珍學術樓四樓 4702 室

電話號碼：94374682

電郵：karlsin2-c@my.cityu.edu.hk

### 邀請參與對象：

本研究的受訪者主要為 香港本地的跨性別，以便達成該項目的他們在香港生活上遇到的困難和社會壓迫的研究。透過當事人身份，能夠得到第一手的資訊以協助提供更準確關於香港跨性別人士的資訊。

### 研究簡介：

目的：本研究旨在教育香港大眾有關於香港跨性別的存在並嘗試給予客觀的資料和教育，並鼓勵他們多留意香港跨性別人士。

過程：本研究除參考前人文獻外，訪談內容則為本課題的基礎。筆者以面談方式對受訪者進行訪談，將涉及以下方面的問題：個人生活、事業、愛情、家庭生活。訪談將以筆錄和錄音方式記錄，每位受訪者將進行大約 120 分鐘的訪談。錄音和書面紀錄只有研究人員或受訪者本人有權存取，而涉及受訪者之內容會儲存到需以密碼開啟的電腦及檔案中，並於研究和論文完成後與 2021 年 5 月 1 日立即銷毀。

### 風險和報酬：

參與本研究不會引起任何心理壓力或不適，也不會帶來任何風險或負面影響。您有時可能會不願意回答某些問題，或者對問題本身不滿意；在這種情況下，您可以隨時拒絕回答或退出研究。

儘管這項研究不會使您個人受益，但研究結果將使公眾更加了解香港跨性別相應的社會問題。研究參與者和受訪者可以在研究結束後收到本研究紙本一份作報酬。

### 參與者權益：

參與者在研究進行期間會以自願性質加入本研究，但其保留隨時退出研究而無需負上任何罰款、負面後果或利益上的損失。

### 私隱和保密：

參與者在研究期間提供的所有資料只會用作研究目的，除事先得到參與者之許可或因應法律要求，否則任何可識別參與者之資料或身份將不會被披露並保持機密。

參與者（受訪者）的身份將會以一個與該受訪者沒有關聯的代碼或假名代替，確保其身份私隱受保護。而身份和資料亦如同上述，而錄音、筆錄等涉及受訪者之內容則會儲存到需以密碼開啟的電腦及檔案中。

**問題及查詢：**

如參與者有任何疑問，可向主要研究者冼嘉浩，聯絡方法包括致電：94374682，或電郵到 karlsin2-c@my.cityu.edu.hk，或電郵予論文指導老師羅鈺博士 yuluo9@cityu.edu.hk查詢。

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**回條**

我已閱讀以上資料細則，和明白資料採集之過程和上述其他資料。

我將會 / 不會\*\* 參與「\_\_\_\_\_香港跨性別\_\_\_\_\_」之研究。  
(\*\*請刪去不適用者)

我同意：

- 在研究當中以錄音方式記錄。 \_\_\_\_\_是\_\_\_\_\_否
- 本研究得出的錄音和資料用於學術研究之 \_\_\_\_\_是\_\_\_\_\_否  
用。
- 本研究產生的口頭和書面材料中不顯示我的 \_\_\_\_\_是\_\_\_\_\_否  
身份。

參與者簽署

參與者姓名

日期

## Agreement of the Use of Audio Recording

This is to confirm that I agree to have my voice recorded by "Sin Karl Ho" (later as "the researcher") for the research study entitled "Transgenders in Hong Kong". I also agree that all rights in such recorded sound will be the shared property of the researcher and myself. I hereby agree to indemnify and hold harmless the researcher any claim for violation, infringement or invasion of privacy, defamation or any right whatsoever that I now have or may have resulting from or relating to any use of the materials. I also give my consent to the researcher to use my voice for their academic and/or non-commercial purposes, without any limitations, in any manner and format worldwide in perpetuity. Without my written permission, however, the researcher cannot let others to use my voice in projects and products that are not their own. The researcher should not give my name, address and other personal information to the third party without my written or signed permission.

If you have any questions or concerns about this study or agreement, please feel free to contact the researcher "Sin Karl Ho" at 94374682 or karlsin2-c@cityu.edu.hk.

## 訪問和錄音授權

本人同意冼嘉浩(此後稱"研究者")為其研究項目"香港跨性別研究"所進行與我有關的錄音。我認可研究者和我本人共同擁有其所拍攝的影像和所錄制的聲音的版權。並保證不會以侵犯隱私、造謠污蔑或其他類似理由對研究者提出指控或要求賠償。我在此授予研究者使用我的聲音為她／他的研究作為學術或非商業用途的權利，並保證不會以任何形式或、在任何時間對此加以限制。但是，未經我的許可，研究者不得以任何方式將他們錄製的材料讓第三方使用和播出。研究者未經我的書面或簽字的許可，不可將我的名字、住址和其他私人信息透露給第三方。

如日後你對是項研究項目或授權協議有任何查詢，請與冼嘉浩聯絡 (94374682; karlsin2-c@cityu.edu.hk).

Date/日期

Signature 簽字

Printed Name/姓名 (楷體)

Address 住址

Telephone No./ 電話

**FORM A****CITY UNIVERSITY OF HONG KONG  
RESEARCH COMMITTEE****Human Research Ethics Checklist**

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <https://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English. No data collection or analysis can be commenced before obtaining ethics approval.
- In addition to the human research ethics, applicants are reminded to comply with the University's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

For **staff applications**, the completed form should be forwarded to **RO**.

For **student applications**, the completed form should be forwarded to **College/School Human Subjects Ethics Sub-Committee** via respective College/School offices

**Part A: Basic Information**

Please check as appropriate:

- |   |  |
|---|--|
| <input type="checkbox"/> Staff Application    | <input checked="" type="checkbox"/> Student Application*   |
| <input checked="" type="checkbox"/> New Study | <input type="checkbox"/> Continuation of the approved study<br>(please provide approved ethics application no.: _____) |

Title of Research/Student Project:	<u>The factors of illegal immigration to Hong Kong during the Cultural Revolution</u> <u>文化大革命中內地偷渡客來港的因素 (CAH3862 Assignment)</u>
Name of Principal Investigator (PI)/Supervisor*:	<u>Dr. LUO Yu</u>
Department:	<u>CAH</u>
Email/Tel:	<u>yuluo9@cityu.edu.hk / 2426</u>
Co-Investigator(s): (Name and Unit/Organization)	
Grant Type, if any	
Proposal/Project No., if any	
  <b><u>For Student Project*</u></b>	
Name of Student Investigator (Dept)	<u>Ho Chin Wa</u>

Study programme (Bachelor's Degree, MPhil, PhD etc. Please specify)	<u>Bachelor of Arts (BAU2)</u> <u>Year 4</u>
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\* In the case of student research, the supervisor assumes this responsibility

### **Part B: Research Methods and Other details**

i) **Research Method and Source of Data**

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing, academic records, personal documents))
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify \_\_\_\_\_

ii) **Where will the data collection/experiment take place?** Please specify the place, region or country.

\_\_\_\_\_ Hong Kong \_\_\_\_\_

iii) **Will the external co-investigator be responsible for data collection at their institution?** If yes, please provide the proof of ethics approval from the relevant affiliating institutions.

\_\_\_\_\_ N/A \_\_\_\_\_

iv) **Is outsourcing of research work or subcontract activity required for the project?**  
 Yes       No

If yes, please specify the work to be conducted by the service providers and what measures to be taken for ensuring the compliance with the CityU's ethical standard by the service provider:

---

(Note: The PI should undertake the responsibility for ensuring the compliance with the CityU's ethical standard by the service provider for the said outsourcing or subcontracting activities.)

v) **Is ethics approval from other authorities required?** e.g., Hospital Authority.

Yes       No

If yes, please indicate the names of the approval authorities and provide a copy of the approval document. If such approval is not available at the time of the ethics application, please provide the reason and indicate the timelines of obtaining such approval.

---

### **Part C: Ethical Issues**

To determine whether an expedited review or a full review is required, please check the following items and forward to your Head of Department for endorsement.

If you have checked “yes” to any of the items below, you must go through a full review. Please fill in the completed checklist (Form A) **AND** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>.

		Yes	No	Please provide relevant information under each item to facilitate consideration for an expedited review
1	Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate in the study (e.g. children under a certain age which requires parental/guardian custody by law (i.e. under the age of 18 in Hong Kong), people with developmental disabilities)? If so, parental/guardian consent must be obtained.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
2.	Will deception of participants e.g. misleading participants be necessary during the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
3.	Will financial inducements/incentives (other than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned) be offered to participants?  If so, please specify details e.g. value, in cash or in kind, the usual rate for the discipline concerned and applicable precedent cases	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
4.	Will the study involve sensitive aspects of the participant's own behaviour such as illegal conduct, drug or alcohol use, and sexual conduct?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The informants were illegal immigrants at the time, but under the Touch Base policy, they had already received legal identity and residential status in Hong Kong.

5.	If the observations on the participants are disclosed, will it reasonably place the participant at risk of criminal or civil liability or be damaging to the participant's financial standing, employability, or reputation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
6.	Will the study/experiment induce psychological stress?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
7.	Is pain or discomfort likely to result from the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
8.	Will the study involve prolonged and repetitive testing sessions which result in pain, fatigue, other form of physical discomfort, danger, physical harm or medical risks or other risks?  If so, please explain the duration and the times of the testing sessions.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
9.	Will the study involve the collection of identifiable or personal information (i.e. information that is not anonymous) from participants? Is re-identification possible during the data extraction process of using a unique identifier such as human cells or personal data?  If so, explain, a) whether sensitive or private information, including contact details will be collected, b) how confidentiality of the information collected will be maintained, c) the arrangements for the disposal of electronic and physical records when the research project is completed and d) the timing of such disposal.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
10.	Is/Are the researcher(s) in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
11.	Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

If you have checked "yes" to any of the above items, you must go through a full review. Please fill in the completed checklist (Form A) **and** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm> In general, a full review is not required for:

- a. research studies that are based entirely on authorized use of publicly available information, documents, records, works, performances, or archival materials
- b. research studies that involve only surveys or observation of officials/individuals in the public arena in a public capacity.
- c. studies that involve identifiable participants but no sensitive or private information will be collected.

#### **Part D: Checklist of attachments:**

- Research Proposal / plan / activities (in English)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- (i) Sample of the consent form for Human Subjects; and - (ii) Sample of the Agreement of the Use of Photography, Audio/Video Recording (if applicable)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
(Note: The sample(s) of the consent form and/or the agreement for the use of photography, audio/video recording must be appended to this ethics application unless no human subject/participant is involved.)		
- Signed confidentiality pledges by PI and/or team members	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Evidence of ethics approval from external investigator(s) or collaborator(s) (Part B (iii) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A
- Evidence of ethics approval from other authorities (Part B (v) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A

### **Declaration**

I have read the guidelines on ethical review of human research -and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to conduct the research and/or activities in compliance with the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

I confirm that any service provider(s) involved with the project have in place appropriate policies which are compliant with the ethical requirements and standards of CityU. I undertake responsibility for ensuring compliance with the CityU's ethical requirement/standard during the project.



Signature  
(Principal Investigator/Supervisor\*)

February 10, 2021

Date

**To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of information provided and declaration of the PI/Supervisor.



22 Feb 2021

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Signature  
( Head of CAH )

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Date

Checklist for Human Ethical Review (April 2020)

CITY UNIVERSITY OF HONG KONG

Research Committee

APPLICATION FOR ETHICAL REVIEW (FULL REVIEW) OF STAFF/STUDENT'S  
HUMAN RESEARCH

Notes:

- Please read the attached guidelines for ethical review, which is also available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English.
- For the full ethical review application, please submit this application (Form B) together with the completed checklist (FORM A) and other documents requested in the Checklist of attachments.
- In addition to human research ethics, applicants are reminded to comply with the university's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

**Part A: Basic Information**

Please check as appropriate:

- (i)  Staff Application OR  Student Application\*
- (ii)  New study OR  Continuation of the approved study

(please provide approved ethics application no.: \_\_\_\_\_)

1) Title of Research Project

The factors of illegal immigration to Hong Kong during the Cultural Revolution  
文化大革命中內地偷渡客來港的因素 (CAH3862 Assignment)

2) Principal Investigator / Supervisor\*

<u>Name</u>	<u>Dept/Unit</u>	<u>Post</u>	<u>Tel. No.</u>	<u>Email</u>
<u>Dr. LUO Yu</u>				<u>yuluo9@cityu.edu.hk</u>

Co-Investigator(s)

<u>Name</u>	<u>Dept/Organization</u>	<u>Tel. No.</u>	<u>Email</u>
1. _____	_____	_____	_____
2. _____	_____	_____	_____

Student Investigator (applicable to student project\* only)

<u>Name</u>	<u>Dept/Unit</u>	<u>Programme</u>	<u>Email</u>
<u>Ho Chin Wa</u>	<u>CAH</u>	<u>Bachelor of Arts (BAU2) Year 4</u>	<u>chinwaho2-c@my.cityu.edu.hk</u>

- \* In the case of student research, the supervisor assumes this responsibility.

### 3) Type of Project

Grant Type, if applicable \_\_\_\_\_

Other (please specify) \_\_\_\_\_

Funding Agency (if applicable) \_\_\_\_\_

Thesis Research      PhD \_\_\_\_\_ MPhil \_\_\_\_\_ Bachelor's Degree  X

## **Part B: Proposal/Project Details and Methodology**

### 1) Objectives and Details of Procedures / Methodology

#### (a) Aims and Objectives

This project aims to find out the factors of illegal immigration during the Cultural Revolution. The most obvious factor was the political environment at the time. However, it was not the only factor. This project would like to discover more other factors by conducting interview with two illegal immigrants from that time (though they had achieved legal identity and residential status in Hong Kong under the Touch Base policy). This approach can also dig out the different views on China and Hong Kong from the illegal immigrants at that time. Overall, this project is going to combine the interview result and the different resources, as to find out and analyze the factors of illegal immigration in Hong Kong history as deep as possible.

#### (b) Research Methods and Source of Data

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing , academic records, personal documents)
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial

Others: Please specify \_\_\_\_\_

(c) Details of Procedures / Methodology

Oral history interview and literature review

Target interviewees: two illegal immigrants who migrated to Hong Kong during the Cultural Revolution

2) Participant(s) Involved in the Research

(a) approximate number

2

(b) age group

Middle-aged

(c) how obtained/recruited

relatives

(d) vulnerable research participants

- (i) Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate (e.g. children under a certain age which requires parental/guardian custody by law, people with developmental disabilities)? If so, please specify the details of the vulnerability and tool or test to be used for evaluating the capacity of the participants, if applicable. Please attach the parental/guardian consent form and a copy of the assent form for the vulnerable subjects who are able to express their consent. (Corresponds to Question 1 of Form A)

N/A

- (ii) If the research involves young children or vulnerable adults who require supervisory arrangement , please specify the details of the supervisory arrangements that put in place to ensure their safety and comfort during their interaction with the researcher, e.g. the presence of the parent, teacher or a social worker. Please explain the reasons if no such arrangement is in place.

N/A

- (e) Are there any inclusion and / or exclusion criteria for the participants? Which tool or test will be used for evaluating or determining the capacity or suitability of the participants? Please provide details, if any.

N/A

- (f) How long will it take for each participant to do lab tests or be involved, over the period?

Each informant will be engaged in a 20-minute interview with occasional follow-up inquiries over the course of two months.

- (g) Will there be any payment/incentive made to the participants? Will financial inducements/incentives higher than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned be offered to participants? If so, please specify details, e.g. value, in cash or in kind, the usual rate for the discipline concerned, and precedent cases in prior published studies. (Corresponds to Question 3 of Form A)

N/A

- (h) Are there any possible benefits other than incentive payment to participants?

N/A

- (i) Where will the data collection/experiment take place? Please specify the place, region or country

At informants' homes in Hong Kong (without the presence of any one else other than the student researcher)

- (j) Who will perform the data collection? If external co-investigator(s) or collaborator(s) will be responsible data collection at their own institution or country, please provide the proof of ethics approval from the relevant affiliating institutions. If such approval is not available at the time of the ethics application, please provide reason and indicate the timelines of obtaining such approval.

Only the student researcher

- (k) Is outsourcing of research work or subcontracting activity required for the project? If yes, please specify the work to be conducted by the service providers and what measures to be taken for ensuring compliance with the CityU's ethical standard by the service provider.

No.

- (l) Is approval from other authorities required? If yes, please indicate the names of the approval authorities and provide a copy of the approval document. If such approval is not available at the time of the ethics application, please provide the reason and indicate the timelines of obtaining such approval.

No.

- (m) information on whether the researcher(s) is/are in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee. If yes, please state details about the conflict of interest and how that potential conflict can be addressed. (Corresponds to Question 10 of Form A)

No.

3) Answer each of the following questions "Yes" or "No"

Do your procedures expose your participants to any risk of :

Yes      No    Type of risk

- deception ....
- invasion of privacy .....
- criminal or civil liability
- damaging to the participant's financial standing, employability, or reputation...
- stress, emotional distress or other form of psychological discomfort.....
- pain, fatigue, other form of physical discomfort, danger, physical harm or medical risk.....
- noxious stimulation/procedure.....
- re-identification during data extraction process or using a unique identifier, personal data...etc
- other risk(s) (please specify) : \_\_historically sensitive/illegal conduct \_\_\_\_\_

4) If you have answered "Yes" to any of the above questions in Part B(3), please complete 4(a) to 4(e):

Estimate the degree of risk involved (e.g. to assess the level of psychological stress that will be induced, who will evaluate it or what psychological test/tool will be used to evaluate it)

The risk shall be minimal, because even though they were illegal immigrants during the Cultural Revolution, they have already obtained Hong Kong's legal status.

- (a) Describe the steps/measures you will take to minimize the risk and to protect your participants from the risks.

I will choose the interviewees who obtain the Hong Kong permanent resident status already. Also, I will ensure that they came to Hong Kong before or during the Touch Base Policy.

- (b) How will you explain the risk to your participants?

I will explain that they were illegal immigrants at that time. While they obtain the Hong Kong permanent resident status already, historically speaking the interview may involve sensitive aspect or illegal conduct at the time.

- (c) How will you obtain their consent to take part in the research?

After explaining the risk, ask them to sign up the consent form.

- (d) Describe how the participants will be debriefed after the study. What feedback of findings will be offered to participants, e.g. access to transcripts of interviews, drafts or final reports?

Access to drafts and final reports.

- 5) Are there any possible risks to the health or safety of the researcher(s) or the field staff when undertaking the research? If yes, please specify the potential risks and what precautions or measures to minimize the risks.

No.

- 6) Will you collect identifiable or personal information? (Corresponds to Question 9 of Form A)

Yes       No

Is re-identification possible during data extraction process or using unique identifier?

Yes       No

If you answered "Yes" to the previous questions, please complete 6(a) to 6(e):

- (a) Describe the type of identifying data you will collect (e.g. name, ID card, email address...) and/or describe how likely the re-identification is possible.

(b) Will image, photography, video-recording or audio-recording be collected or used during the study? Please provide a sample of the Agreement of the Use of Photography, Audio/Video Recording. Please specify details.

(c) How will you collect these identifying data, photography, video/audio-recording? What is the purpose for collecting these data? How will you use these data?

(d) What procedures will you follow to make sure that your participants cannot be identified or re-identified?

(e) What precautions will you take to ensure the security of the data, e.g. restricting access to authorized personnel, signed confidentiality pledge or undertaking by data users, data storage strategies, encryption, offline storage? Please provide details and justifications for photography, video or audio recording and storage strategies, if applicable.

(f) How and when will you dispose of these identifiable/personal data? Please describe the arrangements for the disposal of electronic and physical records and the timing of such disposal. If the study involves outsourcing or subcontracting activity, please describe the arrangements for the disposal of these identifiable/personal data by the service provider.

**Important Note:** If sensitive or private information will also be collected, please check whether “invasion of privacy” in Question 3 is one of the risks.

#### 7) Future use and sharing of research data / materials

Is there any possibility that the personal date / research data / materials collected in this project will be used in any future related or unrelated research by the applicant or shared with other researchers or made it available for use by the funders?

If yes, please describe what type of data will be used in the future, how the data will be used, how confidentiality be maintained, who will have access and how the participants' consent will be sought, will the raw data be anonymised?

No.

8) Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies? (Corresponds to Question 11 of Form A)

Yes       No

If yes, please complete the following questions and the attached *Supplementary Information for Clinical or Biomedical Research Ethics* (Appendix I).

- (a) Does the research involve Human Subjects who are alive? How and where will the study and/or data collection be conducted? If human tissues or fluids will be collected, please indicate the exact amounts and frequency with which the samples will be taken.

- (b) Will biological materials such as human tissues, microbial isolate and human genetic materials (DNA, RNA) be used? How will the data be collected or obtained?

- (c) Will the biological materials be destroyed? When will these materials be destroyed?

If no, please provide reason and indicate where and how materials / data will be stored, how long the data will be stored, who can access the materials/data, permission has been given for the storage of the these materials.

- (d) Will the biological materials be used for other related and/or unrelated research by the applicant and/or other researchers in the future? If yes, does the consent form inform the participants about this? Has the permission been given by the data owner?

- (e) Will the biological materials be exported other site(s), locally or internationally? If yes, please explain the reasons and whether the local laws, permission and customs has been addressed.

- (f) Is there any possibility for genetic research? Please explain what this is and any implications.

- (g) Is clinical trial on human being required? Will any medicine / intervention be tested during the investigation? If yes, has approval for the certificate for clinical trial been obtained? If no, PI should undertake hereby to register the clinical trial certificate and provide the committee of the approval before the commencement of the project.

- (h) Will any outcome of tests or research etc be communicated to the research subject(s) involved?  
In the event that any direct medical benefit for a particular research subject, will the researcher communicate to the research participant?

- (i) Will any radioactive or biohazardous materials be used during the investigation? If yes, please provide detail of the materials.

- (j) Does the project involve the use of diagnostic test results or medical records (e.g. those obtained by imaging or by laboratory testing)? How and where the data be collected or obtained? Is the data anonymous? Is re-identification possible?

- (k) Please state the anticipated benefits or risks of the study.

9) Checklist of attachments:

- |  |   |   |
|--|---|---|
| 1. Research proposal / plan / activities   | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| 2. Participant consent form (including assent form for the vulnerable subjects / minors).  | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| <i>(Note: It must be submitted unless no human subject/participant is involved.)</i>   |   |   |
| 3. Parental/Guardian Consent Form (ref. Part B(2)(d), if applicable)   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| 4. Agreement of the Use of Photography, Audio/Video Recording (ref. Part B(6)(b), if applicable)   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| 5. Signed Confidentiality Pledge by the Principal investigators (PI) and/or research team members and sample copy of the confidentiality pledge to be used for this project. Please refer to Annex 1 in the guidelines for the sample of the pledge. | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| 6. Copy of ethics approval from other authorities or collaborating institutions (ref. Part B(2)(j) or (l)), if applicable  | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| 7. Supplementary Information (Appendix I) for Clinical or Biomedical Research Ethics (ref. Part B(8)), the template form (Appendix I) is enclosed in the following page.   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| 8. Copy of clinical trial certificate, if applicable   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |

## **Declaration**

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to adhere to the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

I confirm that any service provider(s) involved with the project have in place appropriate policies which are compliant with the ethical requirements and standards of CityU. I undertake responsibility for ensuring compliance with the CityU's ethical requirement/standard during the project.



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Signature  
(Principal Investigator/Supervisor)

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February 10, 2021

Date

## **To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of the information provided and the declaration of the PI/Supervisor.



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22 Feb 2021

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Signature  
( Head of CAH )

---

Date

**Annex 1**  
**(SAMPLE)**

**Confidentiality Pledge**

Grant Type: \_\_\_\_\_

Project/Proposal No.: \_\_\_\_\_

Project/Proposal Title: \_\_\_\_\_ The factors of illegal immigration to Hong Kong during the Cultural Revolution \_\_\_\_\_

Principal Investigator/Supervisor: \_\_\_\_\_ Dr. Yu Luo \_\_\_\_\_

Name: \_\_\_Ho Chin Wa\_\_\_\_\_ Staff/Student No: \_\_55303573\_\_\_\_\_  
\_\_\_\_\_

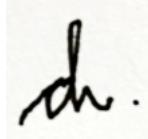
Department: \_\_CAH\_\_\_\_\_ Organization: \_\_\_\_\_

Capacity (PI/Co-I/Research Staff): \_\_\_\_\_

**Confidentiality Pledge**

I understand that I am granted access to sensitive personal data / project data. To ensure that the information is used and handled by authorized personnel only, I hereby pledge that I shall use the data in accordance with the provisions of the Personal Data Privacy Ordinance and according to the policies, procedures and guidelines established by the University from time to time. I shall not disclose such information to any person except on a need-to-know basis. I will take all reasonable precautions within my control to prevent unauthorized access to such information.

Signature: \_\_\_\_\_



Date: \_7<sup>th</sup> February, 2021\_\_\_\_\_

**To be completed by Principal Investigator / Supervisor/Department Head/Line Manager:**

I endorse the right to access the sensitive data of the project.

Principal Investigator / Supervisor: 

Date: \_\_Feb 10, 2021\_\_\_\_\_

## **Research Plan**

Project title: The factors of illegal immigration to Hong Kong during the Cultural Revolution

Name of Students: Ho Chin Wa

Name of Supervisor: Dr. LUO Yu

Department: Chinese and History

### Introduction / Research Background:

There was huge illegal migration wave before the policy of repatriation upon arrest in Hong Kong history. Many mainlanders risked their lives to come to Hong Kong illegally. Especially for the Cultural Revolution, unrest in the Mainland had led more people immigrated to Hong Kong. They served as important manpower to develop Hong Kong. Many of them still alive nowadays and even actively participate in society. They are important stakeholders in society.

### Research Objectives:

This project aims to find out the factors of illegal immigration during the Cultural Revolution. The most obvious factor was the political environment. However, it was not the only factor. This project would like to discover more other factors by conducting interview with two illegal immigrants at that time. This approach can also dig out the different views on China and Hong Kong from the illegal immigrants at that time. Overall, this project is going to combine the interview result and the different resources, as to find out and analyze the factors of illegal immigrant as deep as possible.

### Research Method:

Target interviewees: illegal immigrants to Hong Kong during the Cultural Revolution.

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## **Consent Form**

**Title of the study:** The factors of illegal immigration to Hong Kong during the Cultural Revolution  
**(CAH3862 Assignment)**

Name: HO Chin Wa

Department/Unit: Chinese and History

Institution: City University of Hong Kong

Contact Information:

Address: LI-4702, City University of Hong Kong, Tat Chee Avenue, Kowloon

Telephone: 68741068

Email: chinwaho2-c@my.cityu.edu.hk

### **Invitation to participate**

The interviewees in this study were mainly people who came to Hong Kong illegally during the Cultural Revolution in order to achieve the project's research purposes.

### **Description of the study**

Purpose: The purpose of this research is to explore the factors that caused the phenomenon of illegal immigrant in Hong Kong during the Cultural Revolution. The most obvious factor was the political environment, but this was not the only factor. This study hopes to discover more other factors and find out the different views of illegal immigrants in China and Hong Kong at that time.

Procedures: In addition to referring to previous literature, the interview content is the basis for this topic. I will conduct interviews with interviewees in face-to-face, which will involve the following issues: the reasons and process of smuggling to Hong Kong, their views on China and Hong Kong at that time, and current reflections. Interviews will be recorded in transcripts, and each interviewee will conduct an interview for approximately 20 minutes. Only the researcher or the interviewee has the right to access the written records. The contents of the interviewee will be stored in a computer and file that needs to be opened with a password. The file will be destroyed immediately after the research and thesis are completed.

### **Risks and Benefits**

Participation in this research will not cause any psychological pressure or discomfort, nor will it bring any risks or negative effects. You may sometimes be unwilling to answer certain questions or be dissatisfied with the question itself; in this case, you can refuse to answer or withdraw from the research at any time.

Although this research will not benefit you personally, the results of the research will enable the public to better understand the social issues associated with the past waves of illegal immigration to Hong Kong. Research participants and interviewees can receive a paper copy of this research as payment after the research is over.

### **Participant's Right - Participation and withdrawal:**

Participants will join the research voluntarily during the research period, but they reserve the right to withdraw from the research at any time without incurring any costs, inevitable consequences or loss of interest.

### **Privacy and Confidentiality:**

All information provided by the participants during the research period will only be used for research purposes. Unless the participant's permission is obtained in advance or in accordance with legal

requirements, any information or identity that can identify the participant will not be disclosed and kept confidential.

The identity of the participant (respondent) will be replaced with a code or pseudonym not associated with the respondent to ensure that the privacy of his identity is protected. The identity and information are the same as above, and the content related to the interviewee, such as transcripts, will be stored in computers and files that need to be opened with a password.

**Questions and concerns:**

If participants have any questions, they can contact the principal investigator Ho Chin Wa. Contact methods include calling: 68741068, or email to chinwaho2-c@my.cityu.edu.hk, or email to the research supervisor, Dr. Yu Luo yuluo9@cityu.edu.hk.

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**Version A**  
**(for use by Adult Participant)**

**Reply Slip**

I have read the above information statement and understand the procedures and other information described above.

I will/will not\*\* participate in the research entitled “The factors of illegal immigration to Hong Kong during the Cultural Revolution”.

(\*\* Please delete if inappropriate)

I give consent:

- for notetaking during this study.                         yes  no
- for files resulting from this study to be used for academic purpose.                         yes  no
- for my identity not to be revealed in written materials and oral presentations resulting from this study.                         yes  no

---

Signature of Participant

---

Printed Name of Participant

Date:

## 研究同意書

研究題目：文化大革命中內地偷渡客來港的因素

主要研究者：

姓名：何展華

機構：香港城市大學

學系：中文及歷史學系

聯絡資料：

地址：香港九龍達之路香港城市大學李達三葉耀珍學術樓四樓 4702 室

電話號碼：68741068

電郵：chinwaho2-c@my.cityu.edu.hk

### 邀請參與對象：

本研究的受訪者主要為於文革時期偷渡來港並透過抵壘政策留居香港的人，以便達成該項目的。

### 研究簡介：

目的：本研究旨在探討文化大革命期間偷渡客來港的因素。最明顯的因素是政治環境，但這不是唯一的因素。本研究希望發現更多其他因素和找出當時的偷渡客對中國和香港的不同看法。

過程：本研究除參考前人文獻外，訪談內容則為本課題的基礎。筆者以面談方式對受訪者進行訪談，將涉及以下方面的問題：偷渡客偷渡至香港的原因和過程，他們對當時中國與香港的看法，以及現時的反思。訪談將以筆錄方式記錄，每位受訪者將進行大約20分鐘的訪談。書面紀錄只有研究人員或受訪者本人有權存取，而涉及受訪者之內容會儲存到需以密碼開啟的電腦及檔案中，並於研究和論文完成後立即銷毀。

### 風險和報酬：

參與本研究不會引起任何心理壓力或不適，也不會帶來任何風險或負面影響。您有時可能會不願意回答某些問題，或者對問題本身不滿意；在這種情況下，您可以隨時拒絕回答或退出研究。

儘管這項研究不會使您個人受益，但研究結果將使公眾更加了解過往香港偷渡潮相應的社會問題。研究參與者和受訪者可以在研究結束後收到本研究紙本一份作報酬。

### 參與者權益：

參與者在研究進行期間會以自願性質加入本研究，但其保留隨時退出研究而無需負上任何罰款、負面後果或利益上的損失。

### 私隱和保密：

參與者在研究期間提供的所有資料只會用作研究目的，除事先得到參與者之許可或因應法律要求，否則任何可識別參與者之資料或身份將不會被披露並保持機密。

參與者（受訪者）的身份將會以一個與該受訪者沒有關聯的代碼或假名代替，確保其身份私隱受保護。而身份和資料亦如同上述，而筆錄等涉及受訪者之內容則會儲存到需以密碼開啟的電腦及檔案中。

### 問題及查詢：

如參與者有任何疑問，可向主要研究者\_何展華\_\_\_\_，聯絡方法包括致電：\_68741068\_\_\_\_，或電郵到\_chinwaho2-c@my.cityu.edu.hk\_\_\_\_，或電郵予論文指導老師羅鈺博士yuluo9@cityu.edu.hk查詢。

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## 回條

我已閱讀以上資料細則，和明白資料採集之過程和上述其他資料。

我將會 / 不會\*\* 參與「文化大革命中內地偷渡客來港的因素」之研究。  
(\*\*請刪去不適用者)

我同意：

- 在研究當中以筆錄方式記錄。 \_\_\_\_\_是\_\_\_\_\_否
- 本研究得出的資料用於學術研究之用。 \_\_\_\_\_是\_\_\_\_\_否
- 本研究產生的口頭和書面材料中不顯示我的 \_\_\_\_\_是\_\_\_\_\_否  
身份。

參與者簽署

參與者姓名

日期

**FORM A****CITY UNIVERSITY OF HONG KONG  
RESEARCH COMMITTEE****Human Research Ethics Checklist**

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <https://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English. No data collection or analysis can be commenced before obtaining ethics approval.
- In addition to the human research ethics, applicants are reminded to comply with the University's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

For **staff applications**, the completed form should be forwarded to **RO**.

For **student applications**, the completed form should be forwarded to **College/School Human Subjects Ethics Sub-Committee** via respective College/School offices

**Part A: Basic Information**

Please check as appropriate:

- |   |  |
|---|--|
| <input type="checkbox"/> Staff Application    | <input checked="" type="checkbox"/> Student Application*   |
| <input checked="" type="checkbox"/> New Study | <input type="checkbox"/> Continuation of the approved study<br>(please provide approved ethics application no.: _____) |

Title of Research/Student Project:	<u>The Immigration History: From Mainland China to Hong Kong (CAH 3862 Oral History and Field Study Assignment)</u>
Name of Principal Investigator (PI)/Supervisor*:	<u>Dr. Yu LUO</u>
Department:	<u>Chinese and History</u>
Email/Tel:	<u>yuluo9@cityu.edu.hk/ +852 34422426</u>
Co-Investigator(s): (Name and Unit/Organization)	
Grant Type, if any	
Proposal/Project No., if any	

**For Student Project\***

Name of Student Investigator (Dept)	<u>Ying Man Yan (CAH)</u>
Study programme (Bachelor's Degree, MPhil, PhD etc. Please specify)	<u>Bachelor's Degree</u>

\* In the case of student research, the supervisor assumes this responsibility

## **Part B: Research Methods and Other details**

### i) **Research Method and Source of Data**

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing, academic records, personal documents))
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify\_\_\_\_\_

### ii) **Where will the data collection/experiment take place?** Please specify the place, region or country.

\_\_\_\_ Hong Kong\_\_\_\_\_

### iii) **Will the external co-investigator be responsible for data collection at their institution?** If yes, please provide the proof of ethics approval from the relevant affiliating institutions.

\_\_\_\_No\_\_\_\_\_

### iv) **Is outsourcing of research work or subcontract activity required for the project?**

- Yes
- No

If yes, please specify the work to be conducted by the service providers and what measures to be taken for ensuring the compliance with the CityU's ethical standard by the service provider:

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(Note: The PI should undertake the responsibility for ensuring the compliance with the CityU's ethical standard by the service provider for the said outsourcing or subcontracting activities.)

### v) **Is ethics approval from other authorities required? e.g., Hospital Authority.**

Yes       No

If yes, please indicate the names of the approval authorities and provide a copy of the approval document. If such approval is not available at the time of the ethics application, please provide the reason and indicate the timelines of obtaining such approval.

---

### **Part C: Ethical Issues**

To determine whether an expedited review or a full review is required, please check the following items and forward to your Head of Department for endorsement.

If you have checked “yes” to any of the items below, you must go through a full review. Please fill in the completed checklist (Form A) **AND** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>.

		Yes	No	<b>Please provide relevant information under each item to facilitate consideration for an expedited review</b>
1	Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate in the study (e.g. children under a certain age which requires parental/guardian custody by law (i.e. under the age of 18 in Hong Kong), people with developmental disabilities)? If so, parental/guardian consent must be obtained.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
2.	Will deception of participants e.g. misleading participants be necessary during the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
3.	Will financial inducements/incentives (other than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned) be offered to participants?  If so, please specify details e.g. value, in cash or in kind, the usual rate for the discipline concerned and applicable precedent cases	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
4.	Will the study involve sensitive aspects of the participant's own behaviour such as illegal conduct, drug or alcohol use, and sexual conduct?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The study will involve illegal conduct (illegal immigration experience) during a historical time period. Personal information will not be disclosed in the research. There is no criminal or civil liability risk since the interviewees already had the Hong Kong permanent identity legally.

5.	If the observations on the participants are disclosed, will it reasonably place the participant at risk of criminal or civil liability or be damaging to the participant's financial standing, employability, or reputation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
6.	Will the study/experiment induce psychological stress?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
7.	Is pain or discomfort likely to result from the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
8.	Will the study involve prolonged and repetitive testing sessions which result in pain, fatigue, other form of physical discomfort, danger, physical harm or medical risks or other risks?  If so, please explain the duration and the times of the testing sessions.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
9.	Will the study involve the collection of identifiable or personal information (i.e. information that is not anonymous) from participants? Is re-identification possible during the data extraction process of using a unique identifier such as human cells or personal data?  If so, explain, a) whether sensitive or private information, including contact details will be collected, b) how confidentiality of the information collected will be maintained, c) the arrangements for the disposal of electronic and physical records when the research project is completed and d) the timing of such disposal.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
10.	Is/Are the researcher(s) in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
11.	Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

If you have checked "yes" to any of the above items, you must go through a full review. Please fill in the completed checklist (Form A) and submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm> In general, a full review is not required for:

- a. research studies that are based entirely on authorized use of publicly available information, documents, records, works, performances, or archival materials
- b. research studies that involve only surveys or observation of officials/individuals in the public arena in a public capacity.
- c. studies that involve identifiable participants but no sensitive or private information will be collected.

#### **Part D: Checklist of attachments:**

- Research Proposal / plan / activities (in English)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- (i) Sample of the consent form for Human Subjects; and - (ii) Sample of the Agreement of the Use of Photography, Audio/Video Recording (if applicable)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
<i>(Note: The sample(s) of the consent form and/or the agreement for the use of photography, audio/video recording must be appended to this ethics application unless no human subject/participant is involved.)</i>		
- Signed confidentiality pledges by PI and/or team members	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Evidence of ethics approval from external investigator(s) or collaborator(s) (Part B (iii) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A
- Evidence of ethics approval from other authorities (Part B (v) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A

### **Declaration**

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to conduct the research and/or activities in compliance with the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

I confirm that any service provider(s) involved with the project have in place appropriate policies which are compliant with the ethical requirements and standards of CityU. I undertake responsibility for ensuring compliance with the CityU's ethical requirement/standard during the project.

Signature  
(Principal Investigator/Supervisor\*)

Feb 16, 2021

Date

**To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of information provided and declaration of the PI/Supervisor.



22 Feb 2021

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Signature  
( Head of CAH )

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Date

Checklist for Human Ethical Review (April 2020)

# CITY UNIVERSITY OF HONG KONG

## Research Committee

### APPLICATION FOR ETHICAL REVIEW (FULL REVIEW) OF STAFF/STUDENT'S HUMAN RESEARCH

Notes:

- Please read the attached guidelines for ethical review, which is also available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English.
- For the full ethical review application, please submit this application (Form B) together with the completed checklist (FORM A) and other documents requested in the Checklist of attachments.
- In addition to human research ethics, applicants are reminded to comply with the university's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

#### **Part A: Basic Information**

Please check as appropriate:

- Staff Application       Student Application\*
- New study       Continuation of the approved study  
(please provide approved ethics application no.: \_\_\_\_\_)

#### 1) Title of Research Project

The Immigration History: From Mainland China to Hong Kong (CAH 3862 Oral History and Field Study Assignment)

#### 2) Principal Investigator / Supervisor\*

<u>Name</u>	<u>Dept/Unit</u>	<u>Post</u>	<u>Tel. No.</u>	<u>Email</u>
Yu LUO	Chinese and History	Assistant Professor	+852 34422426	yuluo9@cityu.edu.hk

#### Co-Investigator(s)

<u>Name</u>	<u>Dept/Organization</u>	<u>Tel. No.</u>	<u>Email</u>
1. _____	_____	_____	_____
2. _____	_____	_____	_____

#### Student Investigator (applicable to student project\* only)

<u>Name</u>	<u>Dept/Unit</u>	<u>Programme</u>	<u>Email</u>
-------------	------------------	------------------	--------------

Ying Man Yan Chinese and Bachelor of Arts myying2-  
History c@my.cityu.edu.hk

\* In the case of student research, the supervisor assumes this responsibility.

### 3) Type of Project

Grant Type, if applicable \_\_\_\_\_

Other (please specify) \_\_\_\_\_

Funding Agency (if applicable) \_\_\_\_\_

Thesis Research PhD \_\_\_\_\_ MPhil \_\_\_\_\_ Bachelor's Degree  X

## **Part B: Proposal/Project Details and Methodology**

### 1) Objectives and Details of Procedures / Methodology

#### (a) Aims and Objectives

This research aims to investigate the immigration history of Hong Kong from the immigrants' perspective. By comparing and combining immigrant's immigration experience and Hong Kong immigration documents, it tries to analyze the factuality of official Hong Kong immigration history, excavated the reasons for Chinese citizens immigrated to Hong Kong, and how the government policy affects the people's choices. To develop an all-around immigration history of Hong Kong, both illegal and legal immigrants during the historical time period will be studied in this research. It provides a new perspective on Hong Kong's immigration history.

#### (b) Research Methods and Source of Data

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing , academic records, personal documents))
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples

<input type="checkbox"/> Clinical Trial
<input type="checkbox"/> Others: Please specify _____

(c) Details of Procedures / Methodology

Both qualitative techniques and quantitative techniques will be used to gather research data. In terms of qualitative techniques, at least two face-to-face interviews last for 30 minutes will be conducted between February and April. Two Hong Kong residents will be invited to share their immigration stories. There will be no video and sound recording during the interview to protect personal privacy. Another interview that lasts for 30 minutes may conduct if it is needed. Besides, quantitative techniques such as document screening will also be used in this research. Government documents and academic research related to the Hong Kong immigration history between the 1970s to 1980s will be studied. The application of qualitative techniques and quantitative techniques provide a more comprehensive understanding of the immigration history of Hong Kong.

2) Participant(s) Involved in the Research

(a) approximate number

2

(b) age group

60-70

(c) how obtained/recruited

Family members

(d) vulnerable research participants

- (i) Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate (e.g. children under a certain age which requires parental/guardian custody by law, people with developmental disabilities)? If so, please specify the details of the vulnerability. Please attach parental/guardian consent form and a copy of the assent form for the vulnerable subjects who are able to express their willingness consent. (Corresponds to Question 1 of Form A)

No

- (ii) If the research involves young children or vulnerable adults who require supervisory arrangement , please specify the details of the supervisory arrangements that put in place to ensure their safety and comfort during their interaction with the researcher, e.g. the presence of the parent, teacher or a social worker. Please explain the reasons if no such arrangement is in place.

[Redacted]

- (e) Are there any inclusion and / or exclusion criteria for the participants? Please provide details, if any.

The participants should have the immigration experience from China to Hong Kong.

- (f) How long will it take for each participant to do lab tests or be involved, over the period?

Participants will be involved in 2 interviews, and each interview will last for 30 mins.

- (g) Will there be any payment/incentive made to the participants? Will financial inducements/incentives higher than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned be offered to participants? If so, please specify details, e.g. value, in cash or in kind, the usual rate for the discipline concerned, and precedent cases in prior published studies. (Corresponds to Question 3 of Form A)

No

- (h) Are there any possible benefits other than incentive payment to participants?

No

- (i) Where will the data collection/experiment take place? Please specify the place, region or country

Hong Kong

- (j) Who will perform the data collection? If external co-investigator(s) will be responsible data collection at their own institution or country, please provide the proof of ethics approval from the relevant affiliating institutions.

Student investigator

- (k) information on whether the researcher(s) is/are in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee. If yes, please state details about the conflict of interest and how that potential conflict can be addressed.

No

(l) Is approval from other authorities required?

No

3) Answer each of the following questions "Yes" or "No"

Do your procedures expose your participants to any risk of :

Yes      No    Type of risk

- |                          |  |
|--------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - deception ....   |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - invasion of privacy .....  |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - criminal or civil liability  |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - damaging to the participant's financial standing, employability, or reputation...                  |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - stress, emotional distress or other form of psychological discomfort.....                          |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - pain, fatigue, other form of physical discomfort, danger, physical harm or medical risk.....       |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - noxious stimulation/procedure.....   |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - re-identification during data extraction process or using a unique identifier, personal data...etc |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - other risk(s) (please specify) : _____   |

4) If you have answered "Yes" to any of the above questions in Part B(3), please complete 4(a) to 4(e):

Estimate the degree of risk involved (e.g. to assess the level of psychological stress that will be induced, who will evaluate it or what psychological test/tool will be used to evaluate it)

(a) Describe the steps/measures you will take to minimize the risk and to protect your participants from the risks.

(b) How will you explain the risk to your participants?

(c) How will you obtain their consent to take part in the research?

- (d) Describe how the participants will be debriefed after the study. What feedback of findings will be offered to participants, e.g. access to transcripts of interviews, drafts or final reports?

- 5) Are there any possible risks to the health or safety of the researcher(s) or the field staff when undertaking the research? If yes, please specify the potential risks and what precautions or measures to minimize the risks.

No

- 6) Will you collect identifiable or personal information? (Corresponds to Question 9 of Form A)

Yes       No

Is re-identification possible during data extraction process or using unique identifier?

Yes       No

If you answered "Yes" to the previous questions, please complete 6(a) to 6(e):

- (a) Describe the type of identifying data you will collect (e.g. name, ID card, email address...) and/or describe how likely the re-identification is possible.

- (b) Will image, photography, video-recording or audio-recording be collected or used during the study? Please specify details.

- (c) How will you collect these identifying data, photography, video/audio-recording? What is the purpose for collecting these data? How will you use these data?

- (d) What procedures will you follow to make sure that your participants cannot be identified or re-identified?

- (e) What precautions will you take to ensure the security of the data, e.g. restricting access to authorized personnel, signed confidentiality pledge or undertaking by data users, data storage strategies, encryption, offline storage? Please provide details and justifications for photography, video or audio recording and storage strategies, if applicable.

- (f) How and when will you dispose of these identifiable/personal data? Please describe the arrangements for the disposal of electronic and physical records and the timing of such disposal.

**Important Note:** If sensitive or private information will also be collected, please check whether “invasion of privacy” in Question 3 is one of the risks.

7) Future use and sharing of research data / materials

Is there any possibility that the personal date / research data / materials collected in this project will be used in any future related or unrelated research by the applicant or shared with other researchers or made it available for use by the funders?

If yes, please describe what type of data will be used in the future, how the data will be used, how confidentiality be maintained, who will have access and how the participants' consent will be sought, will the raw data be anonymised?

No

8) Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies? (Corresponds to Question 10 of Form A)

Yes       No

If yes, please complete the following questions and the attached Supplementary Information for Clinical or Biomedical Research Ethics (Appendix I).

- (a) Does the research involve Human Subjects who are alive? How and where will the study and/or data collection be conducted? If human tissues or fluids will be collected, please indicate the exact amounts and frequency with which the samples will be taken.

- (b) Will biological materials such as human tissues, microbial isolate and human genetic materials (DNA, RNA) be used? How will the data be collected or obtained?

- (c) Will the biological materials be destroyed? When will these materials be destroyed?

If no, please provide reason and indicate where and how materials / data will be stored, how long the data will be stored, who can access the materials/data, permission has been given for the storage of the these materials.

- (d) Will the biological materials be used for other related and/or unrelated research by the applicant and/or other researchers in the future? If yes, does the consent form inform the participants about this? Has the permission been given by the data owner?

- (e) Will the biological materials be exported other site(s), locally or internationally? If yes, please explain the reasons and whether the local laws, permission and customs has been addressed.

- (f) Is there any possibility for genetic research? Please explain what this is and any implications.

- (g) Is clinical trial on human being required? Will any medicine / intervention be tested during the investigation? If yes, has approval for the certificate for clinical trial been obtained? If no, PI should undertake hereby to register the clinical trial certificate and provide the committee of the approval before the commencement of the project.

- (h) Will any outcome of tests or research etc be communicated to the research subject(s) involved? In the event that any direct medical benefit for a particular research subject, will the researcher communicate to the research participant?

- (i) Will any radioactive or biohazardous materials be used during the investigation? If yes, please provide detail of the materials.

(j) Does the project involve the use of diagnostic test results or medical records (e.g. those obtained by imaging or by laboratory testing)? How and where the data be collected or obtained? Is the data anonymous? Is re-identification possible?

(k) Please state the anticipated benefits or risks of the study.

9) Checklist of attachments:

- |   |   |   |
|---|---|---|
| • Research proposal / plan / activities   | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Participant consent form and / or Assent for the vulnerable subjects / minors.  | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Parental/Guardian Consent Form (ref. Part B(2)(d))  | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Signed Confidentiality Pledge by the Principal investigators (PI) and/or research team members and sample copy of the confidentiality pledge to be used for this project. Please refer to Annex 1 in the guidelines for the sample of the pledge. | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Supplementary Information (Appendix I) for Clinical or Biomedical Research Ethics (ref. Part B(8)), the template form (Appendix I) is enclosed in the following page.   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Copy of ethics approval from other authorities or collaborating institutions, if applicable   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Copy of clinical trial certificate, if applicable   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |

Declaration

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to adhere to the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.



\_\_\_\_\_  
Signature  
(Principal Investigator/Supervisor)

Feb 16, 2021

\_\_\_\_\_  
Date

To be Completed by Head of Department / Line Manager

I endorse this application on the basis of the information provided and the declaration of the PI/Supervisor.



22 Feb 2021

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Signature  
( Head of CAH )

Date

Full Form for Human Ethical Review (April 2020)

**Annex 1**  
**(SAMPLE)**

**Confidentiality Pledge**

Grant Type: \_\_\_\_\_

Project/Proposal No.: \_\_\_\_\_

Project/Proposal Title: \_\_\_\_\_ The Immigration History: From Mainland China to Hong Kong\_\_\_\_\_

Principal Investigator/Supervisor: \_\_\_\_\_ Dr. Yu LUO\_\_\_\_\_

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Name: \_\_\_\_\_ Ying Man Yan \_\_\_\_\_ Staff/Student No: \_\_\_\_\_ 55825105 \_\_\_\_\_

Department: \_\_\_\_\_ Chinese and History \_\_\_\_\_ Organization: \_\_\_\_\_

Capacity (PI/Co-I/Research Staff): \_\_\_\_\_

**Confidentiality Pledge**

I understand that I am granted access to sensitive personal data / project data. To ensure that the information is used and handled by authorized personnel only, I hereby pledge that I shall use the data in accordance with the provisions of the Personal Data Privacy Ordinance and according to the policies, procedures and guidelines established by the University from time to time. I shall not disclose such information to any person except on a need-to-know basis. I will take all reasonable precautions within my control to prevent unauthorized access to such information.

Signature:  Date: \_\_\_\_06/02/2021\_\_\_\_

**To be completed by Principal Investigator / Supervisor:**

I endorse the right to access the sensitive data of the project.

Principal Investigator / Supervisor:  Date: \_\_\_\_Feb 16, 2021\_\_\_\_

## **Research Plan**

Project Title: The Immigration History in the 1970s and 1980s: from Mainland China to Hong Kong

Name of Students: Ying Man Yan

Name of Supervisor: Dr. LUO Yu

Department: Chinese and History

### **Introduction/Research Background:**

Hong Kong is a city of immigration. Starting from the British colonial period, a large of Chinese migrants immigrated from China to Hong Kong due to various reasons. In mid-2020, there are about 2.2 thousand One-way Permit holders inflowed to Hong Kong. Although there is much research on Hong Kong immigration history, the studies that focus on immigrants' individual experiences are limited.

### **Research Objectives:**

This research aims to investigate the immigration history of Hong Kong from the immigrants' perspective. By comparing and combining immigrant's immigration experience and Hong Kong immigration documents, it tries to analyze the factuality of official Hong Kong immigration history, excavated the reasons for Chinese citizens immigrated to Hong Kong, and how the government policy affects the people's choices. To develop an all-around immigration history of Hong Kong, both illegal and legal immigrants from the past will be studied in this research. It provides a new perspective on Hong Kong's immigration history.

### **Research Method:**

Both qualitative techniques and quantitative techniques will be used to gather research data. In terms of qualitative techniques, at least two face-to-face interviews last for 30 minutes will be conducted between February and April. Two Hong Kong residents will be invited to share their immigration stories. There will be no video and sound recording during the interview to protect personal privacy. Another interview that lasts for 30 minutes may conduct if it is needed. Besides, quantitative techniques such as document screening will also be used in this research. Government documents and academic research related to the Hong Kong immigration history between the 1970s to 1980s will be studied. The application of qualitative techniques and quantitative techniques provide a more comprehensive understanding of the immigration history of Hong Kong.

### **Target interviewees:**

The target interviewees of this research are people who immigrated to Hong Kong from China in the 1970s and 1980s. Two Hong Kong immigrants will be invited to participate in the interview. They are in the age range of 60 and 70 years old and already had Hong Kong permanent identity. Their immigration period and methods are different. One of them was a legal immigrant who immigrated to Hong Kong in the 1970s, and the other interviewee was an illegal immigrant who immigrated to Hong Kong in the 1980s. These two completely different immigration stories provide a comprehensive view of Hong Kong's immigration history.

### **References**

Burns, J. P. (1987). Immigration from China and the Future of Hong Kong. *Asian Survey*, 27(6), 661-682. <https://www.jstor.org/stable/2644542?seq=1>

Vagg, J. (1993). Sometimes a Crime: Illegal Immigration and Hong Kong. *Crime and delinquency*, 39(3), 355-372. <https://journals-sagepub-com.ezproxy.cityu.edu.hk/doi/abs/10.1177/001128793039003006>

Mizuoka, F. (2017). British Colonialism and “Illegal” Immigration from Mainland China to Hong Kong. Retrieved February 06, 2021, from <http://hermes-ir.lib.hit-u.ac.jp/hermes/ir/re/28669/0601700101.pdf>

Wong, S. L. (1992). Emigration and Stability in Hong Kong. *Asian Survey*, 32(10), 918-933. <https://www.jstor.org/stable/2645049?seq=1>

## **Consent Form**

### **Topic: The Immigration History in the 1970-80s: from Mainland China to Hong Kong**

#### **Principal Investigator**

Name: Ying Man Yan

Institution: City University of Hong Kong

Department: Department of Chinese and History

Contact Information:

Address: Room 4702, 4/F, Li Dak Sum Yip Yio Chin Academic Building, City University of Hong Kong, Tat Chee Avenue, Kowloon, Hong Kong

Telephone: 66943486

Email: myying2-c@my.cityu.edu.hk

#### **Invitation to participate**

To achieve the project's research purpose, the interviewees of this research are mainly Chinese citizens who immigrated to Hong Kong in the 1970s and 1980s.

#### **Description of the study**

Purpose: This research aims to examine the immigration history of Hong Kong from the perspective of immigration. By comparing and combining the Hong Kong experience of Chinese immigrants from the 1970s to the 1980s and Hong Kong immigration documents, it is tried to analyze the accuracy of Hong Kong's official immigration history, understand the reasons for Chinese citizens' immigration to Hong Kong, and how government policies affect people's choices.

Process: In addition to referring to the previous documents, the interview content is also the research basis of this topic. The face-to-face interviews will conduct and involve the following issues: the experience of Chinese citizens who immigrated to Hong Kong illegally and legally. Interviews will be recorded, and each interview will last for 30 minutes. Only the researcher or the interviewees has the right to access the written record. The interview record and file will be stored on a computer and locked. The information will be destroyed immediately after the research is completed.

#### **Risks and Benefits**

Participating in this research will not cause any psychological pressure or discomfort and will not bring any risks or negative effects. You may sometimes be unwilling to answer certain questions or be dissatisfied with the question itself; in this case, you can refuse to answer or withdraw from the research at any time.

Although this research will not benefit you personally, the research results will enable the public to better understand Hong Kong's immigration history. Participants and interviewees can receive a paper copy of this research after the research is completed.

#### **Participant's Right - Participation and withdrawal**

Participants will join the study voluntarily during the study period. Still, they reserve the rights to withdraw from the study at any time without incurring any fines, negative consequences or loss of interest.

#### **Privacy and Confidentiality**

All information provided by participants during the research period will only be used for research purposes. Unless the participant's permission is obtained in advance or accordance with legal requirements, any identifiable information or identity of the participant will not be disclosed and kept confidential.

The identity of the participant (respondent) will be replaced with a code or pseudonym not associated with the respondent to ensure that the privacy of his identity is protected. The identity and information are the same as above, and the content related to the interviewee, such as transcripts, will be stored in a computer and file that needs to be opened with a password.

### **Questions and concerns**

If participants have any questions, please contact the lead researcher Ying Man Yan including contact: 66943486, or email to myying2-c@my.cityu.edu.hk, or email to the supervisor, Dr. Luo Yu yuluo9@cityu.edu .hk for the query.

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### **Reply Slip**

I have read the above information statement and understand the procedures and other information described above.

I will/will not\*\* participate in the research entitled "**The Immigration History in the 1970-80s: From Mainland China to Hong Kong**".

(\*\* Please delete if inappropriate)

I give consent:

- for notetaking during this study. \_\_\_\_\_yes\_\_\_\_\_no
- for files and information resulting from this study \_\_\_\_\_yes\_\_\_\_\_no  
to be used for academic research.
- for my identity not to be revealed in oral or written \_\_\_\_\_yes\_\_\_\_\_no  
materials resulting from this study.

---

Signature of Participant

---

Printed Name of Participant

Date

## 研究同意書

**研究題目：**香港移民史：從中國到香港

**主要研究者：**

姓名：邢雯茵

機構：香港城市大學

學系：中文及歷史學系

聯絡資料：

地址：香港九龍達之路香港城市大學李達三葉耀珍學術樓四樓 4702 室

電話號碼：66943486

電郵：myying2-c@my.cityu.edu.hk

**邀請參與對象：**

本研究的受訪者主要為 70-80 年代移民香港的中國市民，以便達成該項目的研究目的。

**研究簡介：**

目的：本研究旨在從移民的角度考察香港的移民歷史。通過比較和結合 70-80 年代中國市民移民的香港經驗和香港移民文件，試圖分析香港官方移民歷史的真實性，了解中國公民移民香港的原因，以及政府政策如何影響人們的選擇。

過程：本研究除參考前人文獻外，訪談內容則為本課題的基礎。筆者以面談方式對受訪者進行訪談，將涉及以下方面的問題：中國市民非法和合法移民香港的經歷。訪談將以筆錄方式記錄，每位受訪者將進行大約 30 分鐘的訪談。書面紀錄只有研究人員或受訪者本人有權存取，而涉及受訪者之內容會儲存到需以密碼開啟的電腦及檔案中，並於研究和論文完成後立即銷毀。

**風險和報酬：**

參與本研究不會引起任何心理壓力或不適，也不會帶來任何風險或負面影響。您有時可能會不願意回答某些問題，或者對問題本身不滿意；在這種情況下，您可以隨時拒絕回答或退出研究。

儘管這項研究不會使您個人受益，但研究結果將使公眾更加了解香港移民史相應的社會問題。研究參與者和受訪者可以在研究結束後收到本研究紙本一份作報酬。

**參與者權益：**

參與者在研究進行期間會以自願性質加入本研究，但其保留隨時退出研究而無需負上任何罰款、負面後果或利益上的損失。

**私隱和保密：**

參與者在研究期間提供的所有資料只會用作研究目的，除事先得到參與者之許可或因應法律要求，否則任何可識別參與者之資料或身份將不會被披露並保持機密。

參與者（受訪者）的身份將會以一個與該受訪者沒有關聯的代碼或假名代替，確保其身份私隱受保護。而身份和資料亦如同上述，而筆錄等涉及受訪者之內容則會儲存到需以密碼開啟的電腦及檔案中。

**問題及查詢：**

如參與者有任何疑問，可向主要研究者邢雯茵，聯絡方法包括致電：66943486，或電郵到 myying2-c@my.cityu.edu.hk，或電郵予論文指導老師羅鈺博士 yuluo9@cityu.edu.hk 查詢。

## 回條

我已閱讀以上資料細則，和明白資料採集之過程和上述其他資料。

我將會 / 不會\*\* 參與「香港移民史：從中國到香港」之研究。

(\*\*請刪去不適用者)

我同意：

- 在研究當中以筆錄方式記錄。 \_\_\_\_\_是\_\_\_\_\_否
- 本研究得出的資料僅用於學術研究之用。 \_\_\_\_\_是\_\_\_\_\_否
- 本研究產生的口頭和書面材料中不顯示我的 \_\_\_\_\_是\_\_\_\_\_否  
身份。

參與者簽署

參與者姓名

日期

**FORM A****CITY UNIVERSITY OF HONG KONG  
RESEARCH COMMITTEE****Human Research Ethics Checklist**

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <https://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English. No data collection or analysis can be commenced before obtaining ethics approval.
- In addition to the human research ethics, applicants are reminded to comply with the University's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

**For staff applications, the completed form should be forwarded to RO.**

**For student applications, the completed form should be forwarded to College/School Human Subjects Ethics Sub-Committee via respective College/School offices**

**Part A: Basic Information**

Please check as appropriate:

- i)  Staff Application      OR       Student Application\*
- ii)  New Study      OR       Continuation of the approved study  
(please provide approved ethics application no.: \_\_\_\_\_)

Title of Research/Student Project:	Message modalities for disinformation news content and their effects on memory: Lessons from the 2021 U.S Capitol riot
Name of Principal Investigator (PI)/Supervisor*:	Dr. Tetsuro Kobayashi
Department:	Media and Communication
Email/Tel:	85234428655
Co-Investigator(s): (Name and Unit/Organization)	
Grant Type, if any	Departmental Research Expenses Grant 2021
Proposal/Project No., if any	

**For Student Project\***

Name of Student Investigator (Dept)	Brenna Marie Davidson
Study programme (Bachelor's Degree, MPhil, PhD etc. Please specify)	PhD

\* In the case of student research, the supervisor assumes this responsibility

## **Part B: Research Methods and Other details**

### i) **Research Method and Source of Data**

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing, academic records, personal documents)
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify \_\_\_\_\_

### ii) **Where will the data collection/experiment take place?** Please specify the place, region or country.

Online with U.S population

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### iii) **Will the external co-investigator(s) or collaborators be responsible for data collection at their institution?** If yes, please provide the proof of ethics approval. If such approval is not available at the time of ethics application, please provide reason and indicate the timelines of obtaining such approval.

No \_\_\_\_\_

### iv) **Is outsourcing of research work or subcontract activity required for the project?**

- Yes
- No

If yes, please specify the work to be conducted by the service providers and what measures to be taken for ensuring the compliance with the CityU's ethical standard by the service provider:

Lucid, a professional research tool for survey sampling, will be used in order to disseminate the survey to U.S participants. They allow for researchers to create their survey on QuestionPro and then company sends out the survey to its pool of participants without making any changes. Therefore, researchers can include a consent form and debriefing in the survey which complies with CityU's ethical standards.

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(Note: The PI should undertake the responsibility for ensuring the compliance with the CityU's ethical standard by the service provider for the said outsourcing or subcontracting activities.)

- v) **Is ethics approval from other authorities required?** e.g., Hospital Authority.  
 Yes       No

If yes, please indicate the names of the approval authorities and provide a copy of the approval document. If such approval is not available at the time of the ethics application, please provide the reason and indicate the timelines of obtaining such approval.

---

### **Part C: Ethical Issues**

To determine whether an expedited review or a full review is required, please check the following items and forward to your Head of Department for endorsement.

If you have checked “yes” to any of the items below, you must go through a full review. Please fill in the completed checklist (Form A) **AND** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>.

		Yes	No	<b>Please provide relevant information under each item to facilitate consideration for an expedited review</b>
1	Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate in the study (e.g. children under a certain age which requires parental/guardian custody by law (i.e. under the age of 18 in Hong Kong), people with developmental disabilities)? If so, parental/guardian consent must be obtained.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

2.	Will deception of participants e.g. misleading participants be necessary during the study?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Participants will be subjected to one of two types of news content. The first is a factual report on the 2021 U.S Capital Riot, which attributes responsibility to right-wing extremists. The second will have the same factual information present except it will attribute the riots to left-wing extremist groups. This is the only misleading and untruthful claim of the news content. Each type of news content will be presented in either a textual article, a textual article with a still image of the riots, or a video with clips from the riots with a voiceover.
3.	Will financial inducements/incentives (other than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned) be offered to participants?  If so, please specify details e.g. value, in cash or in kind, the usual rate for the discipline concerned and applicable precedent cases	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
4.	Will the study involve sensitive aspects of the participant's own behaviour such as illegal conduct, drug or alcohol use, and sexual conduct?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
5.	If the observations on the participants are disclosed, will it reasonably place the participant at risk of criminal or civil liability or be damaging to the participant's financial standing, employability, or reputation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
6.	Will the study/experiment induce psychological stress?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
7.	Is pain or discomfort likely to result from the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
8.	Will the study involve prolonged and repetitive testing sessions which result in pain, fatigue, other form of physical discomfort, danger, physical harm or medical risks or other risks?  If so, please explain the duration and the times of the testing sessions.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

9.	<p>Will the study involve the collection of identifiable or personal information (i.e. information that is not anonymous) from participants? Is re-identification possible during the data extraction process of using a unique identifier such as human cells or personal data?</p> <p>If so, explain a) whether sensitive or private information, including contact details will be collected, b) how confidentiality of the information collected will be maintained, c) the arrangements for the disposal of electronic and physical records when the research project is completed and d) the timing of such disposal.</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
10.	Is/Are the researcher(s) in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
11.	Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

If you have checked “yes” to any of the above items, you must go through a full review. Please fill in the completed checklist (Form A) **and** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm> In general, a full review is not required for:

- a. research studies that are based entirely on authorized use of publicly available information, documents, records, works, performances, or archival materials
- b. research studies that involve only surveys or observation of officials/individuals in the public arena in a public capacity.
- c. studies that involve identifiable participants but no sensitive or private information will be collected.

**Part D: Checklist of attachments:**

- Research Proposal / plan / activities (in English)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- (i) Sample of the consent form for Human Subjects; and - (ii) Sample of the Agreement of the Use of Photography, Audio/Video Recording (if applicable)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
<i>(Note: The sample(s) of the consent form and/or the agreement for the use of photography, audio/video recording must be appended to this ethics application unless no human subject/participant is involved.)</i>		
- Signed confidentiality pledges by PI and/or team members	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Evidence of ethics approval from external investigator(s) or collaborator(s) (Part B (iii) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A
- Evidence of ethics approval from other authorities (Part B (v) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A

**Declaration**

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to conduct the research and/or activities in compliance with the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

I confirm that any service provider(s) involved with the project have in place appropriate policies which are compliant with the ethical requirements and standards of CityU. I undertake responsibility for ensuring compliance with the CityU's ethical requirement/standard during the project.



\_\_\_\_\_  
Signature  
(Principal Investigator/Supervisor\*)

\_\_\_\_\_  
22/02/21

\_\_\_\_\_  
Date

**To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of information provided and declaration of the PI/Supervisor.



4/3/2021

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Signature  
(  
Head, COM

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Date

Checklist for Human Ethical Review (January 2021)

CITY UNIVERSITY OF HONG KONG**FORM B**Research CommitteeAPPLICATION FOR ETHICAL REVIEW (FULL REVIEW) OF STAFF/STUDENT'S  
HUMAN RESEARCH

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English.
- For the full ethical review application, please submit this application (Form B) together with the completed checklist (Form A) and other documents requested in the Checklist of attachments.
- In addition to human research ethics, applicants are reminded to comply with the university's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

**Part A: Basic Information**

Please check as appropriate:

- (i)       Staff Application    OR       Student Application\*
- (ii)      New study               OR       Continuation of the approved study

(please provide approved ethics application no.: \_\_\_\_\_)

1) Title of Research Project

Message modalities for disinformation news content and their effects on memory: Lessons from the 2021 U.S Capitol riot

2) Principal Investigator / Supervisor\*

<u>Name</u>	<u>Dept/Unit</u>	<u>Post</u>	<u>Tel. No.</u>	<u>Email</u>
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Dr. Tetsuro Kobayashi    COM    Associate Prof.    85234428655    tkobayas@cityu.edu.hk

Co-Investigator(s)

<u>Name</u>	<u>Dept/Organization</u>	<u>Tel. No.</u>	<u>Email</u>
1. _____	_____	_____	_____
2. _____	_____	_____	_____

Student Investigator (applicable to student project\* only)

<u>Name</u>	<u>Dept/Unit</u>	<u>Programme</u>	<u>Email</u>
-------------	------------------	------------------	--------------

Brenna Marie Davidson    COM    PhD    bdavidson2-c@my.cityu.edu.hk

- \* In the case of student research, the supervisor assumes this responsibility.

### 3) Type of Project

Grant Type, if applicable	<u>Departmental Research Expenses Grant 2021</u>					
Other (please specify)						
Funding Agency (if applicable)	<u>Dept. of Media and Communication</u>					
Thesis Research	PhD	<input checked="" type="checkbox"/>	MPhil	<input type="checkbox"/>	Bachelor's Degree	<input type="checkbox"/>

## **Part B: Proposal/Project Details and Methodology**

### 1) Objectives and Details of Procedures / Methodology

#### (a) Aims and Objectives

The primary objective of this study is to understand the implications of different modality on disinformation memory recall. Within this proposed study, a replication of Gruber's (1990) study on audiovisual stimuli will be conducted and compared to the same modality but with disinformation news content. As there are contradictory findings within this topic, such as the potential effects of still images and video (i.e. Powell et al., 2018; Hameleers et al., 2020), the contribution of this project will be able to further expand insight into the field of message modality. This is especially pertinent as online news sites accommodate various forms of message modality, including text, image, and video. Understanding the implications of each modality on memory recall will aid in developing strategies to further combat disinformation online through preventive action.

#### (b) Research Methods and Source of Data

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing , academic records, personal documents))
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify \_\_\_\_\_

(c) Details of Procedures / Methodology

A survey embedded experiment using LUCID's sampling service will be used to gauge memory recall across unimodal and multimodal news content. Individuals will first be asked questions with regard to media behaviour, news use, interest in news, and standard demographic information, such as sex, age, education level, income, and political affiliation.

Participants will then be randomly assigned to one of six between-subjects' experimental conditions. Specifically, these conditions will be comprised of 2 (News Content Type: disinformation news vs. non-misleading information) x 3 (Message modality: text, text with an embedded image, and video). A randomization check will be employed to ensure participants do not differ significantly in terms of U.S demographics, such as age, gender, income, education, and political affiliation. Following the experimental condition, individuals will then be asked questions to ascertain what information was correctly recalled using two types of memory questions (i.e. free recall and cued recall/recognition). Participants will be retested after one week to measure dependent variables for a second time to see if the effect of disinformation/modalities has changed.

The stimuli will be news on the 2021 U.S Capitol Riots as disinformation regarding the topic has been found on the topic in order to shift blame away from previous U.S President Donald Trump and his extreme supporters. Should the results indicate that different modality does, in fact, impact memory recall of disinformation compared to non-misleading information, a second experiment that replicates the first will be conducted to ascertain whether this effect happens across political and non-political topics.

The sampling is proposed to be of at least 600 participants, similar to previous studies testing modality effects (see Hameleers et al., 2020).

2) Participant(s) Involved in the Research

(a) approximate number

600

(b) age group

Ages 18 and up

(c) how obtained/recruited

Online survey using Lucid

(d) vulnerable research participants

- (i) Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate (e.g. children under a certain age which requires parental/guardian custody by law, people with developmental disabilities)? If so, please specify the details of the vulnerability and tool or test to be used for evaluating the capacity of the participants, if applicable. Please attach the parental/guardian consent form and a copy of the assent form for the vulnerable subjects who are able to express their consent. (Corresponds to Question 1 of Form A)

No

- (ii) If the research involves young children or vulnerable adults who require supervisory arrangement , please specify the details of the supervisory arrangements that put in place to ensure their safety and comfort during their interaction with the researcher, e.g. the presence of the parent, teacher or a social worker. Please explain the reasons if no such arrangement is in place.

No

(e) Are there any inclusion and / or exclusion criteria for the participants? Which tool or test will be used for evaluating or determining the capacity or suitability of the participants? Please provide details, if any.

Only U.S participants. Lucid will use their pool of U.S participants to ensure survey takers are within this country.

(f) How long will it take for each participant to do lab tests or be involved, over the period?

It is estimated that the survey will take at most 15 minutes. Participants will be tested on dependent variables a second time after 1 week.

- (g) Will there be any payment/incentive made to the participants? Will financial inducements/incentives higher than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned be offered to participants? If so, please specify details, e.g. value, in cash or in kind, the usual rate for the discipline concerned, and precedent cases in prior published studies. (Corresponds to Question 3 of Form A)

No

- (h) Are there any possible benefits other than incentive payment to participants?

No

- (i) Where will the data collection/experiment take place? Please specify the place, region or country

United States/Online

- (j) Who will perform the data collection? If external co-investigator(s) or collaborator (s) will be responsible data collection at their own institution or country, please provide the proof of ethics approval from the relevant affiliating institutions. If such approval is not available at the time of the ethics application, please provide reason and indicate the timelines of obtaining such approval.

The survey/experiment will be given to Lucid to disseminate to participants by the student researcher.

- (k) Is outsourcing of research work or subcontracting activity required for the project? If yes, please specify the work to be conducted by the service providers and what measures to be taken for ensuring compliance with the CityU's ethical standard by the service provider.

Yes. Lucid, a professional research tool for survey sampling, will be used in order to disseminate the survey to U.S participants. They allow for researchers to create their survey on QuestionPro and then company sends out the survey to its pool of participants without making any changes. Therefore, researchers can include a consent form and debriefing in the survey which complies with CityU's ethical standards.

- (l) Is approval from other authorities required? If yes, please indicate the names of the approval authorities and provide a copy of the approval document. If such approval is not available at the time of the ethics application, please provide the reason and indicate the timelines of obtaining such approval.

No

- (m) information on whether the researcher(s) is/are in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee. If yes, please state details about the conflict of interest and how that potential conflict can be addressed. (Corresponds to Question 10 of Form A)

No

3) Answer each of the following questions "Yes" or "No"

Do your procedures expose your participants to any risk of :

Yes      No    Type of risk

- |                                     |                                     |  |
|-------------------------------------|-------------------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/>            | - deception ....   |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | - invasion of privacy .....  |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | - criminal or civil liability  |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | - damaging to the participant's financial standing, employability, or reputation....                 |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | - stress, emotional distress or other form of psychological discomfort.....                          |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | - pain, fatigue, other form of physical discomfort, danger, physical harm or medical risk.....       |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | - noxious stimulation/procedure.....   |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | - re-identification during data extraction process or using a unique identifier, personal data...etc |
| <input type="checkbox"/>            | <input checked="" type="checkbox"/> | - other risk(s) (please specify) : _____   |

4) If you have answered "Yes" to any of the above questions in Part B(3), please complete 4(a) to 4(e):

Estimate the degree of risk involved (e.g. to assess the level of psychological stress that will be induced, who will evaluate it or what psychological test/tool will be used to evaluate it)

The risk involved would be whether the participants believe the misinformation they will be given should they be placed into the group that reads or watches manipulated news content. Participants will be asked questions such as their perceived credibility of the content, recall of content information, mentality toward conspiracies, and political attitudes. However, the researcher does not foresee any degree of risk involved as it does not directly affect physical or emotional health and the participants will be told that they were exposed to misleading information following the survey. Participants will also be given a list of neutral sources to visit should they need a deeper understanding of the 2021 U.S Capitol Riots.

- (a) Describe the steps/measures you will take to minimize the risk and to protect your participants from the risks.

A debriefing will be given at the end of the survey/experiment that will inform participants that they were exposed to disinformation on the 2021 U.S Capitol Riots. They will also be advised to read/watch news on the riots from impartial news sources should they need a deeper understanding of the issue.

- (b) How will you explain the risk to your participants?

Participants will be told at the beginning of the survey that there are no risks in taking the survey as no harm will come to their emotional or physical health. Participants will also be informed that they will be debriefed following the survey in order to have a deeper understanding of the research conditions.

- (c) How will you obtain their consent to take part in the research?

Participants will be asked for their consent at the beginning of the survey. They will also be given the option to revoke their consent after the survey has ended and their responses are recorded.

- (d) Describe how the participants will be debriefed after the study. What feedback of findings will be offered to participants, e.g. access to transcripts of interviews, drafts or final reports?

Participants will be told that in order to test how their media habits impact memory, there is a possibility that they were exposed to purposely misleading news content regarding the 2021 U.S Capitol Riots. They are then urged to research the topic on their own using impartial news sources. Participants were then given two examples of impartial and political centered news sources, which include the National Public Radio (npr.com) and the Associated Press (ap.org).

- 5) Are there any possible risks to the health or safety of the researcher(s) or the field staff when undertaking the research? If yes, please specify the potential risks and what precautions or measures to minimize the risks.

No

- 6) Will you collect identifiable or personal information? (Corresponds to Question 9 of Form A)

Yes       No

Is re-identification possible during data extraction process or using unique identifier?

Yes       No

If you answered "Yes" to the previous questions, please complete 6(a) to 6(e):

- (a) Describe the type of identifying data you will collect (e.g. name, ID card, email address...) and/or describe how likely the re-identification is possible.

- (b) Will image, photography, video-recording or audio-recording be collected or used during the study? Please provide a sample of the Agreement of the Use of Photography, Audio/Video Recording. Please specify details.

(c) How will you collect these identifying data, photography, video/audio-recording? What is the purpose for collecting these data? How will you use these data?

(d) What procedures will you follow to make sure that your participants cannot be identified or re-identified?

(e) What precautions will you take to ensure the security of the data, e.g. restricting access to authorized personnel, signed confidentiality pledge or undertaking by data users, data storage strategies, encryption, offline storage? Please provide details and justifications for photography, video or audio recording and storage strategies, if applicable.

(f) How and when will you dispose of these identifiable/personal data? Please describe the arrangements for the disposal of electronic and physical records and the timing of such disposal. If the study involves outsourcing or subcontracting activity, please describe the arrangements for the disposal of these identifiable/personal data by the service provider.

**Important Note:** If sensitive or private information will also be collected, please check whether “invasion of privacy” in Question 3 is one of the risks.

#### 7) Future use and sharing of research data / materials

Is there any possibility that the personal date / research data / materials collected in this project will be used in any future related or unrelated research by the applicant or shared with other researchers or made it available for use by the funders?

If yes, please describe what type of data will be used in the future, how the data will be used, how confidentiality be maintained, who will have access and how the participants’ consent will be sought, will the raw data be anonymised?

No. The research data will only be used for the student’s dissertation study and her future studies going forward. The primary PI, the student’s supervisor, will also have access should they need it.

#### 8) Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies? (Corresponds to Question 11 of Form A)

Yes       No

If yes, please complete the following questions and the attached Supplementary Information for Clinical or Biomedical Research Ethics (Appendix I).

- (a) Does the research involve Human Subjects who are alive? How and where will the study and/or data collection be conducted? If human tissues or fluids will be collected, please indicate the exact amounts and frequency with which the samples will be taken.

- (b) Will biological materials such as human tissues, microbial isolate and human genetic materials (DNA, RNA) be used? How will the data be collected or obtained?

- (c) Will the biological materials be destroyed? When will these materials be destroyed? If no, please provide reason and indicate where and how materials / data will be stored, how long the data will be stored, who can access the materials/data, permission has been given for the storage of the these materials.

- (d) Will the biological materials be used for other related and/or unrelated research by the applicant and/or other researchers in the future? If yes, does the consent form inform the participants about this? Has the permission been given by the data owner?

- (e) Will the biological materials be exported other site(s), locally or internationally? If yes, please explain the reasons and whether the local laws, permission and customs has been addressed.

- (f) Is there any possibility for genetic research? Please explain what this is and any implications.

- (g) Is clinical trial on human being required? Will any medicine / intervention be tested during the investigation? If yes, has approval for the certificate for clinical trial been obtained? If no, PI should undertake hereby to register the clinical trial certificate and provide the committee of the approval before the commencement of the project.

(h) Will any outcome of tests or research etc be communicated to the research subject(s) involved?

In the event that any direct medical benefit for a particular research subject, will the researcher communicate to the research participant?

(i) Will any radioactive or biohazardous materials be used during the investigation? If yes, please provide detail of the materials.

(j) Does the project involve the use of diagnostic test results or medical records (e.g. those obtained by imaging or by laboratory testing)? How and where the data be collected or obtained? Is the data anonymous? Is re-identification possible?

(k) Please state the anticipated benefits or risks of the study.

**9) Checklist of attachments:**

- |  |   |   |
|--|---|---|
| 1. Research proposal / plan / activities   | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| 2. Participant consent form (including assent form for the vulnerable subjects / minors).  | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| <i>(Note: It must be submitted unless no human subject/participant is involved.)</i>   |   |   |
| 3. Parental/Guardian Consent Form (ref. Part B(2)(d), if applicable)   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| 4. Agreement of the Use of Photography, Audio/Video Recording (ref. Part B(6)(b), if applicable)   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| 5. Signed Confidentiality Pledge by the Principal investigators (PI) and/or research team members and sample copy of the confidentiality pledge to be used for this project. Please refer to Annex 1 in the guidelines for the sample of the pledge. | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| 6. Copy of ethics approval from other authorities or collaborating institutions (ref. Part B(2)(j) or (l)), if applicable  | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| 7. Supplementary Information (Appendix I) for Clinical or Biomedical Research Ethics (ref. Part B(8)), the template form (Appendix I) is enclosed in the following page.   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| 8. Copy of clinical trial certificate, if applicable   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |

## **Declaration**

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to adhere to the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

I confirm that any service provider(s) involved with the project have in place appropriate policies which are compliant with the ethical requirements and standards of CityU. I undertake responsibility for ensuring compliance with the CityU's ethical requirement/standard during the project.



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Signature  
(Supervisor)

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22/02/2021

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Date

## **To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of the information provided and the declaration of the PI/Supervisor.



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Signature  
( Head, COM )

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04/03/2021

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Date

## **Confidentiality Pledge**

Grant Type: Departmental Research Expenses Grant 2021

Project/Proposal No.: \_\_\_\_\_

Project/Proposal Title: Message modalities for disinformation news content and their effects on memory: Lessons from the 2021 U.S Capitol riot

Principal Investigator/Supervisor: Brenna Marie Davidson

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Name: Brenna Marie Davidson Staff/Student No: 55738790

Department: COM Organization: City University of Hong Kong

Capacity (PI/Co-I/Research Staff): Student researcher/Co-I

### **Confidentiality Pledge**

I understand that I am granted access to sensitive personal data / project data. To ensure that the information is used and handled by authorized personnel only, I hereby pledge that I shall use the data in accordance with the provisions of the Personal Data Privacy Ordinance and according to the policies, procedures and guidelines established by the University from time to time. I shall not disclose such information to any person except on a need-to-know basis. I will take all reasonable precautions within my control to prevent unauthorized access to such information.

Signature: Brenna Marie Davidson Date: 02/03/21

**To be completed by Principal Investigator / Supervisor/Department Head/Line Manager:**

I endorse the right to access the sensitive data of the project.

Principal Investigator / Supervisor:  Date: \_02/03/21\_\_\_\_\_

Running head: THE EFFECTS OF MESSAGE MODALITY

**Message modalities for disinformation  
news content and their effects on memory:  
Lessons from the 2021 U.S Capitol riot**

Brenna Davidson

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Department of Media and Communication

City University of Hong Kong

## **Introduction**

Scholars have long since established that the Internet has transformed the way individuals receive the news, be that through news websites, streaming services, cellular applications, or social media sites. People have been increasingly drawn to the convenience of online news as evidenced by a study in 2018 which found that 34% of U.S adults prefer to obtain their news from online sources, a 6% increase from 2016 (Geiger, 2019). While the advancement of technology has allowed for access to more diverse sources of communication and news content, this can be a cause for concern as it also increases the chances of exposure to misleading and therefore, potentially harmful, information (Hameleers et al., 2020; Kim & Masullo Chen, 2020).

Disinformation, a type of misleading information that is spread with the function of deceiving and is done intentionally (Fallis, 2015), has in recent years been at the forefront of both research for the academic community and media industry as they attempt to combat the increased dissemination and consumption of factual misperceptions. For example, experimental and content studies in the communication field have sought to understand potential effects of and successful combatant strategies for disinformation, along with its conceptual counterpart, misinformation, in addition to identifying curators and dissemination sources (Fallis, 2015). On the other hand, social media websites have begun to label misleading information in online posts, such as in the case of the U.S President Donald J. Trump when he repeatedly posted debunked instances of mail-in ballot fraud during the 2020 U.S presidential election (Braine, 2020).

However, although these efforts are important and worthwhile, research has neglected a specific area of disinformation research, modality as the message vehicle, which could potentially impact recall of false information and later the political decision-making process of

individuals (Strandberg et al., 2018). Simply put, as the modality of messages (i.e., textual articles, still images, and audiovisual reports) have different cognitive processing characteristics, memory for what is read, viewed, or heard may be significantly impacted across various presentation formats (Sundar, 2000). For instance, due to these characteristics, when compared to textual stimuli, visuals are superior in evoking mental imagery and are rich mnemonic devices that heighten learning and retention rates (Childers & Houston, 1984).

While there have been strides in modality information processing research within the fields of psychology and communication, such as Doris Graber's (1990) work on visual and verbal aspects of television news, and more recently Powell et al. (2015, 2018) research on visual and audiovisual influences on message frame salience, studies on modality specific characteristics affecting an individual's memory for disinformation news are scantily pursued. Therefore, the purpose of this study is to explore what effects modality has on the recall of purposely misleading and factually incorrect news content. Analyzing textual, visual, and audiovisual news will showcase whether disinformation is processed differently when presented in various unimodal and popular multimodal formats.

Therefore, this study will be guided by Geise & Baden's (2015) theoretical propositions regarding the cognitive processing features unique to text and image stimuli that influence perception, decoding, elaboration, and interpretation of message frames. While their generalized frame processing model does not mention how modality specific factors impact memory, it does provide insight into understanding how these characteristics specific to textual and visual stimuli make certain information more salient to individuals, which can facilitate memory recall (Wang et al., 2019).

However, findings for the superiority of visual and audiovisual stimuli for their salience and memory enhancing properties are mixed. For example, previous research has found that still images when paired with text provides additional learning cues, while audiovisual stimuli seem to overload the cognitive processing of individuals, thus hindering learning and memory recall capabilities (Sundar, 2000). On the other hand, research has also found that videos are more likely to transport viewers into a story than images and text (Green et al., 2008), which can increase memory recall (Campbell, Sands, & Ferraro, 2020). Therefore, in order to further understand how modality influences memory, this present research proposes to conduct an experimental study that would examine both unimodal (text) and multimodal (text with image, video) news content and their impact on recall across different metrics (i.e., free and cued recall). Moreover, due to the prevalence of disinformation in today's online media environment, the experimental study will be conducted on two articles, one displaying misleading information and one exhibiting completely factual events, in order to apprehend whether modality influences recall when false information is presented. Because this research is centered around disinformation, a potential moderating factor, specifically conspiracy mentality, which may impact the relationship intensity between modality and memory will also be scrutinized.

Theoretical contributions would thus center around expanding propositions put forth by Geise and Baden (2015) in their generalized frame processing model, as although the model touches base on properties specific to both textual and visual stimuli, it specifically references still images and omits cognitive processing features of videos. Moreover, by applying this framework to be applicable to the memory recall of disinformation, an overarching model can be synthesized for different types of modality related research that is not restricted to frame construction and interpretation. Potential practical contributions abound as this study would alert

media and watchdog organizations to the effects modality has on recalling disinformation, which as stated previously, can have serious implications for political decision making (Strandberg et al., 2018).

## Literature Review

### Disinformation

The topic surrounding how misleading and falsified information is disseminated online, along with the inevitable effects that stem from its consumption, has been brought to the forefront of the communication discipline in recent years (Freelon & Wells, 2020). This increased attentiveness has led to strides in identifying misleading and therefore, potentially harmful, information in addition to understanding how such information can be combated across popular online media, especially with regard to social media and other news websites (e.g. Hameleers et al., 2020; Kim & Masullo Chen, 2020). Concerns for exposure to inaccurate and misleading information online are warranted as fake news runs rampant in cyber communities and is exacerbated by echo chamber effects, which is due, in part, to the personalization of individual media feeds (Witteman et al., 2016).

Moreover, Rapp and Salovich's (2018) experimental study on fake news found that this exposure to inaccurate statements caused participants to exhibit confusion about prior truthful knowledge, doubt about obvious accurate understandings, and later reliance on observed misrepresentations or falsehoods. These formed factual misperceptions are also found to bias collective opinion, ultimately undermining the notion that errors in individual preferences are cancelled out on the community level (Page & Shapiro, 1992; Reedy, Wells, & Gastil, 2014). Those that become misinformed may also act upon this incorrect information, referred to as the

“active misinformed” (Hochschild & Einstein, 2015), and can have serious implications regarding political decision making. One type of misleading information that has recently received an overwhelming amount of scholarly attention is disinformation. This increase in interest has been attributed to the unprecedented widespread circulation of fake news during the 2016 U.S presidential election, which some have argued influenced election results. Thus, research production on disinformation drastically expanded, as evidenced by a recent meta-analysis that discovered roughly 70% of journal articles on the topic were produced between 2017-2019 (Freelon & Wells, 2020).

Although disinformation continues to be front and center in the field of communication, especially political communication, there is still much debate over what type of information should be included in the concept’s defining characteristics. For example, some of the earliest definitions of disinformation defined the concept as “whenever the process of information is defective” (Floridi, 1996, p. 509) and is generally “on par with the acts of lying” (Fetzer, 2004, p. 231). In addition, Floridi’s (2011) discussion on disinformation defines it simply as “misinformation purposely conveyed to mislead the receiver into believing that it is information” (p. 260), which closely resembles numerous dictionary definitions on the topic (Fallis, 2015). However, these earlier classifications of disinformation have been criticized for either being too broad or too narrow for academic pursuits, and thus this current research adapts Fallis’s (2015) characterization of the concept, which states that “disinformation is misleading information that has the function of misleading someone,” and of which is by “no accident” (p. 413). Disinformation is thus fundamentally different from misinformation, in which the latter encompasses a wide array of information types, as long as it is unintentionally spread.

Instead, this definition of disinformation includes only misleading information that has the function to mislead, such as malicious lies (i.e. intending to harm the recipient), visual disinformation (e.g. deep fakes, doctored photographs), true disinformation (i.e. selective emphasis of certain facts), side-effect disinformation (e.g. intentional exposure of disinformation in academic research), adaptive disinformation (i.e. initially unintentional, later intentional after positive reinforcement), altruistic disinformation (i.e. disinformation intended to benefit the recipient), and detrimental disinformation (i.e. disinformation that doesn't benefit the source). However, within the realm of political communication, perhaps those types that are not beneficial to the source are not all that common as the aim would be to increase the party's political stronghold and influence over the target population. Moreover, truthful statements, accidental falsehoods, sarcastic comments, accidental truths, implausible lies, and lastly satire, do not belong within the realm of disinformation (Fallis, 2015).

### ***Disinformation Effects on Memory***

Although what exactly constitutes as disinformation is contested among scholars, there is a general consensus regarding its detrimental effects on today's society and the need to further the field's theoretical and empirical approaches. One particular effect in need of additional scrutiny that has fascinated scholars in the field of both disinformation and its conceptual counterpart, misinformation, is how these types of factual misperceptions impact the formation of new memories. For example, there has been much academic research on false memories, unwittingly manufactured thoughts and/or images that are mistaken for prior experience and events (Sacchi, Agnoli, & Loftus, 2007; Strange et al., 2011), of which can be created through the exposure to fake news stories and other misleading information (Polage, 2012).

The creation of false memories has been attributed to the source monitoring framework, which posits that memories are not stored with source identification tags, therefore, the source of the memory (e.g. the spatial, temporal, and social context; specific media and modalities through which the memory was perceived) is inferred through a rapid evaluation of memory details through an independent, yet complementary relationship of memory-based and online processing models (Hastie & Park, 1986; Kim & Garrett, 2012). The former, is a model in which individuals form opinions at the time of judgment by deliberately retrieving related information from long term memory (i.e. effortful systematic judgments), while the latter is a model in which individuals form judgments by spontaneously recalling and updating an affective integer (i.e. effortless heuristic judgments) (Hastie & Park, 1986; Murphy et al., 2019).

Wrongly inferring the source of the memory through these cognitive processing models has serious implications on political decision making as it can lend perceived credibility and veridicality to the information in question. For example, recalling information originally read in a tabloid magazine might be seen as more credible and factual if this same information was wrongly thought to have been read in a reputable newspaper. Thus, a false memory, which is thought to be an actual and factual memory, is created from potentially misleading information (Hastie & Park, 1986).

However, findings concerning the shelf life of false memories resulting from exposure to disinformation and misinformation when compared to actual event details are inconsistent. Case in point, whereas some experimental studies have shown that memory for misinformation tends to be retrieved at a greater rate than memory for actual events (e.g. Frost, 2000; Frost, 2002; Underwood & Pezdeck, 1998), others have indicated that false memories are retrieved at a similar rate and strength as true memories (Zhu et al., 2012). Moreover, examinations into

disinformation effects have rarely manipulated specific message characteristics, such as the message modality, and instead have opted to place focus on other factors. These have included experiments on repeated exposure (i.e. reading of non-factual statements) (Polage, 2012) and the presence of contradictory messages through subsequent fact-checking (Hameleers et al., 2020). Therefore, this current research seeks to expand upon how message characteristics, such as the message's modality, may impact accurate recollection of disinformation news stories, particularly when compared with non-misleading and factual news content.

### **Modality and Information Processing**

Scholars have long since established that message construction can affect the cognitive processing responsible for news story recall, which could later influence opinions and decision-making behaviors (Scheufele & Tewksbury, 2007). While there has been diverse academic scholarship rooted in message modality, an integral and often conscious choice when constructing a message, seldom attention has been paid to how different multimodal and unimodal content influences the cognitive memory processes specifically for disinformation news. Instead, research has placed focused on message modality and its role in framing effects (see Powell et al., 2015; Powell et al., 2015).

In fact, in their conception of the generalized frame processing model, Geise and Baden (2015) introduced several propositions about how coherent meaning is constructed by characteristics specific to different modalities (i.e. text and still images): Salience attribution prompted by visual information is superior to those from textual information. However, due to the lack of structure in the perceptual process of visual stimuli, textual information provides more guidance for elaboration and interpretation than its visual counterpart. Lastly, in comparison to texts, visual information, which is richer and possesses higher ambiguity, provides

an excess of information available for integration that results in higher variability in meaning construction. In support of these propositions, previous research has shown that when considering a political issue, visuals are exceptionally effective in allowing for an association to become more accessible, while text allows individuals to decide what information is related to their pre-existing notions (Coleman, 2010). Moreover, visuals are more effective at increasing salience of message content, which can facilitate memory recall (Wang et al., 2019).

While there has been progress in understanding the impact of modality specific characteristics on frame construction and interpretation, seldom research has highlighted the influence those same features endemic to unimodal and multimodal stimuli have on the information processing that is pertinent for memory recall. One exception to this trend is Sundar's (2000) work on multimedia enhancements of online news websites. In this experimental study, participants were exposed to five versions of a news website that was either text only, text with images, text and audio, text with both images and audio, and text with images and video. Advertisements were also included on each version of the website to replicate real-life causal browsing. Participants were then asked questions to gauge story recall, story recognition, ad recall, and ad recognition.

Results suggested that the combination of pictures and text had an overall positive affect across dependent variables, which is consistent with prior scholarship indicating pictorial cues have qualities that enhance memory (Reese, 1984). This, in turn, lends support for the cue-summation hypothesis, which posits that additional learning cues are provided when images accompany textual information, especially at the time of retrieval from memory (Paivio, 1969; Severin, 1969). With regard to the effects of audio and video news, however, the cue summation hypothesis was not upheld and instead when additional stimuli were combined with text and

images, audio and video hindered the advantage provided by images. Sundar attributed this to a cognitive overload from the audio and video stimuli, which essentially overwrites information gained from reading the text article, along with the assumption that exposure to audio and video triggered automatic processing similar to the processing for images.

Powell et al. (2018) replicated this finding in their study which gauged the impact of audiovisual and textual modality on the cognitive processing of message frames. They discovered that videos are not more salient than news articles due to their complexity, a finding that resonates with the Limited Capacity Information Processing Approach (LCIPA) (Lang, 1995; Lang, 2000). From the perspective of the LCIPA, learning is facilitated by visual and verbal stimuli only if the receivers' processing is not overloaded. According to Powell et al., this overbearance of stimuli can be avoided in text as individuals are able to reread in-depth in order to clarify any misunderstandings they might have encountered initially.

This is an interesting finding because videos are generally believed to have higher salience than both images and text due to the constant flow of the video's narrative (Geise & Baden, 2015; Messaris & Abraham, 2001). Additionally, with the advancement of technology, viewers of online news videos are now able to pause and rewind should they need any clarity. Therefore, the constant flow of a video should no longer pose an issue to the viewers' cognitive processing. In fact this newly popular function of online news videos, along with the notion that visuals parallel reality (Grabe & Bucy, 2009), which can lead to increased persuasion, memory improvement, and induced emotional responses (Blondé & Girandola, 2016), showcases how videos are more likely to transport viewers into a story than images and text (Green et al., 2008).

As aforementioned, research for unimodal and multimodal stimuli is understudied and presents inconsistent findings for modality specific characteristics on memory recall, especially

with regard to disinformation news content which is a growing concern across academia. Moreover, the research that has solely focused on the effects that unimodal and multimodal message construction has on memory recall has omitted popular presentations of news content online (i.e. text article with video, standalone video) and the technological advancements that online news brings (i.e. pause/replay for videos). This is particularly problematic as consumption of videos on social media sites, such as Facebook, has been increasing in recent years. For example, a 2016 global survey found that 75% of respondents occasionally watch videos online for news consumption (Kalogeropoulos, Cherubini, & Newman, 2016).

Due to the fact that findings on video salience for news content is mixed, and that although increasingly ubiquitous, multimodality and its relation to disinformation memory formation and recall in research is lacking, this present study seeks to further examine different message construction for both disinformation and actual news events. This study thus proposes to accomplish this feat by incorporating popular combinations within news construction as well as technological advancements for video watching to further examine modality effects on remembering disinformation and shaping attitudes.

Hence, the following hypotheses are put forth:

1. Multimodal textual disinformation (i.e., with an image) will be remembered at a higher rate than the disinformation articles that only contain text (text/image > text).
2. Multimodal audiovisual disinformation will be remembered at a higher rate than unimodal textual disinformation (video > text).
3. Multimodal audiovisual disinformation news will be remembered at a higher rate than multimodal disinformation articles containing both text and an image (video > image/text).

4. On average, information from disinformation articles is remembered at a higher rate than non-disinformation articles across both unimodal and multimodal versions (disinformation recall > non-disinformation recall).

### **Moderating the Relationship Between Modality Types and Recall**

In addition to understanding the impact that different modality types have on memory recall of disinformation news content, this study will also seek to uncover potential moderators between modality and memory. The psychological variable under scrutiny is the participants' conspiracy mentality, which refers to a general tendency to explain a phenomenon by reference to the maneuverings of powerful and ill-intentioned individuals or groups (Swami et al., 2010; Uscinski & Parent, 2014). Conspiracy mentality is important to examine in disinformation research as it has been shown to lead to political actions to foil the supposed conspiracy (Imhoff & Bruder, 2014) and disengagement with politics should the conspiracy be perceived as overwhelming (Butler et al., 1995). Moreover, recent research has also found that a conspiracy mentality is positively related to the credibility or believability of news content (Halpern et al., 2019).

5. The higher the conspiracy mentality score, the relationship between modality (for all modality types) and recall increases.

## **Methodology**

### **Context**

As aforementioned, in order to address the above hypotheses, this current research proposes to conduct an experimental study that manipulates message modality in order to examine its effects on memory recall (i.e., free and cued recall) for disinformation news and

association with conspiracy mentality. The 2021 U.S Capital riot was thus chosen as the context for this study and was done so for several reasons. Firstly, the riot and its aftermath has been one of the most important issues following the 2020 U.S Presidential Elections as it led to the second impeachment of previous U.S President Donald Trump for his role in inciting the insurrection (Berenson, 2021). The attack was in response to the alleged voter fraud perpetuated by President Trump and other high-profile Republicans, with its purpose to remove Democrat leadership and to interrupt the certification of electoral college votes for President-elect Joseph Biden (Garrison & Shesgreen, 2021). Although the FBI attributed the rioting to Trump supporters and right-wing extremists' groups, a conspiracy theory propagated by high profile Republican leadership, such as Rep. Paul Gosar of Arizona and Rep. Mo Brooks of Alaska, alleged that it was leftist extremist groups that orchestrated the attack on the Capitol (Beer, 2021). Therefore, due to the high-profile nature of this incident, its importance, and the widespread circulation of disinformation due to political partisanship, the 2021 U.S Capitol riot was chosen an appropriate context for this experimental study.

### **Design**

Participants will be randomly assigned to one of six between-subjects' experimental conditions. Specifically, these conditions comprised a 2 (News Type: Disinformation, non-misleading information/actual event) x 3 (Modality: Text only article, text article with image, video broadcast). A randomization check will be employed to ensure participants do not differ significantly in terms of age, gender, income, education, political affiliation, and prior issue attitudes.

### **Participants**

Participants will be recruited via LUCID as recent research has shown that data collected using their services equals or outperforms data from MTURK (Coppock & McClellan, 2019). Subjects recruited from LUCID are measured on time spent on the survey, attentiveness, open-ended response quality, accepted and completed surveys, and overall consistency (i.e. attitudes/opinions over time) (Lucid, n.d.). In addition, survey respondents on the platform have been found to be in line with “US national benchmarks in terms of their demographic, political, and psychological profiles” (Coppock & McClellan, 2019, p. 12). Thus, LUCID seems to be a fitting match for conducting a representative online survey embedded experiment with the U.S as the target population.

While random sampling is the preferred method as it provides an equal chance for selection of participants from the sampling frame, one concern is the possibility of it not being inclusive of all target demographic groups in the population. The solution to this problem would be to use stratified sampling instead, which separates the sampling frame into representative strata of the target population. Then, participants are chosen from each stratum at random. However, in such cases where the sampling frame is unknown, quota sampling is used. The participants are not chosen randomly as with stratified sampling but selected based on the certain traits they possess necessary to fill the representative strata. While this method has been criticized for its non-probability sampling nature, it is acceptable for this proposed online experiment as access to the entire sampling frame is not feasible (i.e. the entire U.S population).

With regard to the sample size, because the aforementioned hypotheses will be tested using independent sample t-tests, a G\*Power analysis (Faul et al., 2007) utilizing an effect size of  $d = .5$  to achieve a power of .8 was conducted, which is a recommended estimate should a literature review of related research not be applicable for experimental studies (Cohen, 1988) as

was in this case. Based on this analysis, a sample of 51 participants per group per each condition will be recruited. In total, this proposed study will strive to have a sample size of at least 816 participants.

### **Stimuli**

Stimuli were chosen from news coverage of the 2021 U.S Capitol riot. The creation process for the stimuli is briefly outlined in the following step, which was influenced by the experimental studies of Powell et al. (2015) and Powell et al. (2018): Firstly, an article containing three sections was drafted and was based on articles from online news sites such as CNN and NPR. The beginning section of the article included basic factual information about the development of the insurrection. The second section was manipulated to attribute responsibility to either left-wing extremists (disinformation condition) or right-wing extremists (actual event condition). The final section concluded with additional factual information and a statement that there is a possibility for continued riots. Each section for both versions of the article were around 36 words in length.

The videos were made using the same clips and images from online news sites (i.e., Bloomberg, Washington Post, CNN, and AP) and included a voiceover using the article text. For the videos, each section lasted approximately 17 seconds and the full video was around 52 seconds. Lastly, one still image from the video was chosen to accompany the text article in the text multimodality condition (i.e., text article with image). In addition, to avoid source bias, logos were removed from every version of the news content and were replaced with a fake media agency called “The Political Monitor” to replicate professionalism and realism for online news. Moreover, in order to ensure consistency between each stimulus, the voiceover and author was attributed to a generic American female journalist name, Georgia Thomas.

**Dependent Variable**

The dependent variable used to address hypotheses 1-5 is memory recall. This study will adapt the measure of memory recall from Corston and Colman (1997), which will be additively combined to form the global recall scale. The memory recall scale will be obtained by summing participants scores on several items that measure memory from two types of recall (i.e., free and cued recall). There will be six questions in total, three being free recall and three for cued recall. For example, when asked to freely recall empirical data of the news event, participants may be asked questions such as, “Which group(s) did XRVision, the facial recognition firm, identify in the crowd of insurrectionists?” An example of a cued recall question is, “Who orchestrated the capitol riots? A) Right-wing extremists B) Left Wing Extremists.”

**Moderator**

Measurement for moderating variable was based on the conspiracy mentality questionnaire (CMQ) developed by Bruder et al. (2013). Participants were asked about their level of agreement with five conspiracy statements, such as “there are secret organizations that greatly influence political decisions” and “events which superficially seem to lack a connection are often the result of secret activities.”

**Procedure**

The study will be administered online, and participants will first be informed of the nature of the research and asked to provide consent for their involvement. Those that consent to the research will also be informed that they have the right to withdraw their consent at any time, even after submission of the survey. Afterwards, participants will be randomly assigned to one of six between-subjects’ experimental conditions following a questionnaire on control variables, such as the participants’ media behaviors, demographic information, political affiliation, and

interest in various news types, in addition to the moderating variable of conspiracy mentality. For example, participants will be either subjected to news content with disinformation or completely factual information and will be exposed to only one version of the news content (i.e., text only article, text article with an accompanying image, or a video). Participants in each condition will be required to read/watch the news content for at least one minute before proceeding to ensure they interact with the stimuli. Subsequent to the experimental condition, participants will be asked questions to gauge their memory recall (i.e., free and cued recall) and an additional control variable for their perceived credibility of the news content.

Following the last question, participants will be debriefed about their exposure to misleading information on the 2021 U.S Capitol Riots and will be advised to read/watch news on the riots from impartial news sources should they need a deeper understanding of the issue. Two examples of impartial news sources will be provided with links to their websites.

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## **Consent Form [Example]**

Thank you for taking part in this research project. The purpose of this study is to understand your media consumption habits and how these relate to your memory and attitudes.

This questionnaire has been designed by Ms. Brenna Davidson at the Department of Media and Communication, City University of Hong Kong. If you have any questions regarding this survey, you can contact Ms. Davidson by email ([bdavidson2-c@my.cityu.edu.hk](mailto:bdavidson2-c@my.cityu.edu.hk)). The completion of the questionnaire should not take more than 20 minutes. This research project has been approved by the College Human Subjects Ethics Sub-Committee, College of Liberal Arts and Social Sciences, City University of Hong Kong.

Before you start answering the questions, it is important that we register your consent to participate in the research. Please read the following text carefully. You will remain anonymous in your response and all of your responses will be kept confidential. Participation is voluntary and you may choose to stop participating at any time. No risks or discomfort are anticipated from taking part in this study. By selecting 'I agree', you are indicating that you have read the description of the study, are over the age of 18, and that you agree to the terms as described. If you do wish not to complete the survey, please select 'I do not agree'.

- I agree
- I do not agree

# CITY UNIVERSITY OF HONG KONG

## RESEARCH COMMITTEE

### Human Research Ethics Checklist

Notes:

- Please read the attached guidelines for ethical review, which is also available at <https://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English. No data collection or analysis can be commenced before obtaining ethics approval.
- In addition to the human research ethics, applicants are reminded to comply with the University's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

For staff applications, the completed form should be forwarded to RO.

For student applications, the completed form should be forwarded to College/School Human Subjects Ethics Sub-Committee via respective College/School offices

#### **Part A: Basic Information**

Please check as appropriate:

Staff Application

Student Application\*

New Study

Continuation of the approved study

(please provide approved ethics application  
no.: \_\_\_\_\_)

Title of Research/Student Project:	<u>Intervention for fathers of reactive children aggressors in Hong Kong: Study of anger expression and father-child relationship</u>
Name of Principal Investigator (PI)/Supervisor*:	<u>Dr. Annis Fung Lai Chu</u>
Department:	<u>The Department of Social and Behavioural Sciences</u>
Email/Tel:	<u>anson siu923@gmail.com</u>
Co-Investigator(s): (Name and Unit/Organization)	
Grant Type, if any	<u>An Innovative Evidence-Based Outcome Fathering Programme Study in Reducing Reactive and Proactive Aggression Among At-Risk Adolescents and Children, Strategic Research Grant (SRG), City University of Hong Kong</u>
Proposal/Project No., if any	
<b><u>For Student Project*</u></b>	
Name of Student Investigator (Dept)	<u>Dr. Annis Fung Lai Chu</u>
Study programme (Bachelor's Degree, MPhil, PhD etc. Please specify)	<u>Master of Social Sciences in Counselling</u>

\* In the case of student research, the supervisor assumes this responsibility

#### **Part B: Research Methods and Other details**

i) Research Method and Source of Data

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing, academic records, personal documents)
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data Retrospective data retrieved from Dr. Annis Fung Lai Chu
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify\_\_\_\_\_

- ii) **Where will the data collection/experiment take place?** Please specify the place, region or country.

Retrospective data will be collected in Hong Kong

- iii) **Will the external co-investigator be responsible for data collection at their institution?** If yes, please provide the proof of ethics approval from the relevant affiliating institutions.

No external co-investigator will be needed

- iv) **Is ethics approval from other authorities required?** e.g., Hospital Authority.

If yes, please indicate the names of the approval authorities and provide a copy approval document. If such approval is not available at the time of ethics application, please provide reason and indicate the timelines of obtaining such approval.

No ethics approval from other authorities required

### **Part C: Ethical Issues**

To determine whether an expedited review or a full review is required, please check the following items and forward to your Head of Department for endorsement.

If you have checked “yes” to any of the items below, you must go through a full review. Please fill in the completed checklist (Form A) **AND** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>.

		Ye s	N o	<b>Please provide relevant information under each item to facilitate consideration for an expedited review</b>
1	Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate in the study (e.g. children under a certain age which requires parental/guardian custody by law (i.e. under the age of 18 in Hong Kong), people with developmental disabilities)? If so, parental/guardian consent must be obtained.	✓	<input type="checkbox"/>	Parental consents were given prior to recruitment of participants of intervention.
2.	Will deception of participants e.g. misleading participants be necessary during the study?	<input type="checkbox"/>	✓	

3.	<p>Will financial inducements/incentives (other than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned) be offered to participants?</p> <p>If so, please specify details e.g. value, in cash or in kind, the usual rate for the discipline concerned and applicable precedent cases</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
4.	Will the study involve sensitive aspects of the participant's own behaviour such as illegal conduct, drug or alcohol use, and sexual conduct?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
5.	If the observations on the participants are disclosed, will it reasonably place the participant at risk of criminal or civil liability or be damaging to the participant's financial standing, employability, or reputation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
6.	Will the study/experiment induce psychological stress?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
7.	Is pain or discomfort likely to result from the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
8.	<p>Will the study involve prolonged and repetitive testing sessions which result in pain, fatigue, other form of physical discomfort, danger, physical harm or medical risks or other risks?</p> <p>If so, please explain the duration and the times of the testing sessions.</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

9.	<p>Will the study involve the collection of identifiable or personal information (i.e. information that is not anonymous) from participants? Is re-identification possible during the data extraction process of using a unique identifier such as human cells or personal data?</p> <p>If so, explain, a) whether sensitive or private information, including contact details will be collected, b) how confidentiality of the information collected will be maintained, c) the arrangements for the disposal of electronic and physical records when the research project is completed and d) the timing of such disposal.</p>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
10.	Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

If you have checked “yes” to any of the above items, you must go through a full review.

Please fill in the completed checklist (Form A) **and** submit the application form for full review (Form B). The application form is available at

<http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm> In general, a full review is not required for:

- a. research studies that are based entirely on authorized use of publicly available information, documents, records, works, performances, or archival materials
- b. research studies that involve only surveys or observation of officials/individuals in the public arena in a public capacity.
- c. studies that involve identifiable participants but no sensitive or private information will be collected.

**Part D: Checklist of attachments:**

- Research Proposal / plan / activities (in English)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Sample of consent forms if human subjects involved	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Signed confidentiality pledges by PI and/or team members	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Ethics approval from other authorities (Part B (iii & iv refer)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A

**Declaration**

I have read the guidelines on ethical review of human research -and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to conduct the research and/or activities in compliance with the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.



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8/1/2021

Signature

Date

(Principal Investigator/Supervisor\*)

**To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of information provided and declaration of the PI/Supervisor.



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27 Jan 2021

Signature

Date

(      Head, SS      )

CITY UNIVERSITY OF HONG KONG

Research Committee

APPLICATION FOR ETHICAL REVIEW (FULL REVIEW) OF STAFF/STUDENT'S

HUMAN RESEARCH

Notes:

- Please read the attached guidelines for ethical review, which is also available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English.
- For the full ethical review application, please submit this application (**Form B**) together with the completed checklist (**FORM A**) and other documents requested in the Checklist of attachments.
- In addition to human research ethics, applicants are reminded to comply with the university's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

**Part A: Basic Information**

Please check as appropriate:

- |  |   |
|--|---|
| <input type="checkbox"/> Staff Application | <input checked="" type="checkbox"/> Student Application*    |
| <input type="checkbox"/> New study         | <input type="checkbox"/> Continuation of the approved study |

(please provide approved ethics application no.:  
\_\_\_\_\_)

1) Title of Research Project

Intervention for fathers of reactive children aggressors in Hong Kong: Study of anger expression and father-child relationship

2) Principal Investigator / Supervisor\*

<u>Name</u>	<u>Dept/Unit</u>	<u>Post</u>	<u>Tel. No.</u>	<u>Email</u>
Dr. Annis Fung Lai Chu	Department of Social and Behavioral Sciences	Associate Professor	3442 2923	annis.fung@cityu.edu.hk

Co-Investigator(s)

<u>Name</u>	<u>Dept/Organization</u>	<u>Tel. No.</u>	<u>Email</u>
1.			
2.			

Student Investigator (applicable to student project\* only)

<u>Name</u>	<u>Dept/Unit</u>	<u>Programme</u>	<u>Email</u>
Siu Chun Hin	The Department of Social Sciences Social and Behavioural Sciences	Master of Social Counselling	chunsiu9-c@my.cityu.edu.hk

- \* In the case of student research, the supervisor assumes this responsibility.

**3) Type of Project**

Grant Type, if applicable

An Innovative Evidence-Based Outcome Fathering Programme Study in Reducing Reactive and Proactive Aggression Among At-Risk Adolescents and Children, Strategic Research Grant (SRG), City University of Hong Kong

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Other (please specify)

---

Funding Agency (if applicable)

---

Thesis Research

PhD \_\_\_\_\_ MPhil \_\_\_\_\_ Bachelor's Degree \_\_\_\_\_

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**Part B: Proposal/Project Details and Methodology**

**1) Objectives and Details of Procedures / Methodology**

(a) Aims and Objectives

To investigate the effectiveness of intervention involving fathers of children proactive aggressive behaviours in school

(b) Research Methods and Source of Data

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing , academic records, personal documents)
- Use of data sets / secondary data / archival data:  

Please specify the name and source of data Retrospective data retrieved from Dr. Annis Fung Lai Chu

  - Data linkage
  - Intervention
  - Action research
  - Experimental procedures
  - Human Cells and Materials
  - Drugs or isotopes
  - Epidemiological
  - Blood sampling
  - Laboratory study on stored samples
  - Clinical Trial
  - Others: Please specify\_\_\_\_\_

(c) Details of Procedures / Methodology

Fathers of children aged from six to sixteen with aggressive behaviors were recruited by reactive-proactive aggression questionnaires. They were randomly assigned into different intervention groups to undergo 6 counselling sessions. This study involved questionnaires to children with aggressive behaviors and their fathers at two checkpoints, including before intervention and after intervention. Individual structured interviews were performed to fathers before and after the interventions. Retrospective data will be collected to undergo quantitative and qualitative analysis.

2) Participant(s) Involved in the Research

(a) approximate number

20

(b) age group

Children aged from six to sixteen with reactive aggressive behaviors at school and their fathers

(c) how obtained/recruited

Retrospective data will be collected from Dr. Annis Fung Lai Chu (PI)

(d) vulnerable research participants

- (i) Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate (e.g. children under a certain age which requires parental/guardian custody by law, people

with developmental disabilities)? If so, please specify the details of the vulnerability. Please attach parental/guardian consent form and a copy of the assent form for the vulnerable subjects who are able to express their willingness consent. (Corresponds to Question 1 of Form A)

Yes. Children aged from six to sixteen with aggressive behavioural problems at school will be recruited.

- (ii) If the research involves young children or vulnerable adults who require supervisory arrangement , please specify the details of the supervisory arrangements that put in place to ensure their safety and comfort during their interaction with the researcher, e.g. the presence of the parent, teacher or a social worker. Please explain the reasons if no such arrangement is in place.

N/A

- (e) Are there any inclusion and / or exclusion criteria for the participants? Please provide details, if any.

Exclusion criteria includes fathers of children with proactive aggressive bahviors as anger expression is related to reactive aggression rather than proactive aggressive beahviors. As a result, reative-proactive aggression questionnaire was used to target reactive children aggressors.

- (f) How long will it take for each participant to do lab tests or be involved, over the period?

6 counsellng sessions were provided to fathers of reactive children aggressors. Questionnaire and individual interview were performed to obtain relevant data

- (g) Will there be any payment/incentive made to the participants? Will financial inducements/incentives higher than reasonable expenses and compensation for time

applicable to the nature of the study for the discipline concerned be offered to participants? If so, please specify details, e.g. value, in cash or in kind, the usual rate for the discipline concerned, and precedent cases in prior published studies. (Corresponds to Question 3 of Form A)

N/A

(h) Are there any possible benefits other than incentive payment to participants?

Counselling services were provided to children aggressors and their parents. The intervention aimed at reducing children's aggressive behaviours by enhancing parents' parenting efficacy, parental involvement and parental satisfaction. g

(i) Where will the data collection/experiment take place? Please specify the place, region or country

Retrospective data will be collected under supervision of Dr. Annis Fung Lai Chu(PI)

(j) Who will perform the data collection? If external co-investigator(s) will be responsible data collection at their own institution or country, please provide the proof of ethics approval from the relevant affiliating institutions.

Retrospective data will be collected under supervision of Dr. Annis Fung Lai Chu(PI)

(k) information on whether the researcher(s) is/are in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee. If yes, please state details about the conflict of interest and how that potential conflict can be addressed.

N/A

(l) Is approval from other authorities required?

N/A

3) Answer each of the following questions "Yes" or "No"

Do your procedures expose your participants to any risk of :

Yes      No    Type of risk

- |                          |  |
|--------------------------|--|
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - deception ....   |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - invasion of privacy .....  |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - criminal or civil liability  |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - damaging to the participant's financial standing, employability, or reputation...                  |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - stress, emotional distress or other form of psychological discomfort.....                          |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - pain, fatigue, other form of physical discomfort, danger, physical harm or medical risk.....       |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - noxious stimulation/procedure.....   |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - re-identification during data extraction process or using a unique identifier, personal data...etc |
| <input type="checkbox"/> | <input checked="" type="checkbox"/> - other risk(s) (please specify) : _____   |

4) If you have answered "Yes" to any of the above questions in Part B(3), please complete 4(a) to 4(e):

Estimate the degree of risk involved (e.g. to assess the level of psychological stress that will be induced, who will evaluate it or what psychological test/tool will be used to evaluate it)

N/A

- (a) Describe the steps/measures you will take to minimize the risk and to protect your participants from the risks.

N/A

- (b) How will you explain the risk to your participants?

N/A

- (c) How will you obtain their consent to take part in the research?

N/A

- (d) Describe how the participants will be debriefed after the study. What feedback of findings will be offered to participants, e.g. access to transcripts of interviews, drafts or final reports?

N/A

5) Are there any possible risks to the health or safety of the researcher(s) or the field staff when undertaking the research? If yes, please specify the potential risks and what precautions or measures to minimize the risks.

No

6) Will you collect identifiable or personal information? (Corresponds to Question 9 of Form A)

Yes ✓ No

Is re-identification possible during data extraction process or using unique identifier?

Yes ✓ No

If you answered "Yes" to the previous questions, please complete 6(a) to 6(e):

(a) Describe the type of identifying data you will collect (e.g. name, ID card, email address...) and/or describe how likely the re-identification is possible.

N/A

(b) Will image, photography, video-recording or audio-recording be collected or used during the study? Please specify details.

Audio recording of father from pre-test and post-test will be collected and retrieved from Dr. Annis Fung Lai Chu.

- (c) How will you collect these identifying data, photography, video/audio-recording? What is the purpose for collecting these data? How will you use these data?

Audio recording data will be collected and retrieved from Dr. Annis Fung Lai Chu. Audio recording will be used for qualitative analysis to investigate if intervention helps improve father-child relationship.

- (d) What procedures will you follow to make sure that your participants cannot be identified or re-identified?

No information regarding identity will be marked in the audio recording.

- (e) What precautions will you take to ensure the security of the data, e.g. restricting access to authorized personnel, signed confidentiality pledge or undertaking by data users, data storage strategies, encryption, offline storage? Please provide details and justifications for photography, video or audio recording and storage strategies, if applicable.

Access will be restricted to person related to the study.

- (f) How and when will you dispose of these identifiable/personal data? Please describe the arrangements for the disposal of electronic and physical records and the timing of such disposal.

All data will be destroyed 3 years after the completion of study.

**Important Note:** If sensitive or private information will also be collected, please check whether “invasion of privacy” in Question 3 is one of the risks.

7) Future use and sharing of research data / materials

Is there any possibility that the personal date / research data / materials collected in this project will be used in any future related or unrelated research by the applicant or shared with other researchers or made it available for use by the funders?

If yes, please describe what type of data will be used in the future, how the data will be used, how confidentiality be maintained, who will have access and how the participants' consent will be sought, will the raw data be anonymised?

No

8) Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies? (Corresponds to Question 10 of Form A)

Yes       No

If yes, please complete the following questions and the attached *Supplementary Information for Clinical or Biomedical Research Ethics* (Appendix I).

- (a) Does the research involve Human Subjects who are alive? How and where will the study and/or data collection be conducted? If human tissues or fluids will be collected, please indicate the exact amounts and frequency with which the samples will be taken.

N/A

- (b) Will biological materials such as human tissues, microbial isolate and human genetic materials (DNA, RNA) be used? How will the data be collected or obtained?

N/A

(c) Will the biological materials be destroyed? When will these materials be destroyed?

If no, please provide reason and indicate where and how materials / data will be stored, how long the data will be stored, who can access the materials/data, permission has been given for the storage of the these materials.

N/A

(d) Will the biological materials be used for other related and/or unrelated research by the applicant and/or other researchers in the future? If yes, does the consent form inform the participants about this? Has the permission been given by the data owner?

N/A

(e) Will the biological materials be exported other site(s), locally or internationally? If yes, please explain the reasons and whether the local laws, permission and customs has been addressed.

N/A

(f) Is there any possibility for genetic research? Please explain what this is and any implications.

N/A

(g) Is clinical trial on human being required? Will any medicine / intervention be tested during the investigation? If yes, has approval for the certificate for clinical trial been obtained? If no, PI should undertake hereby to register the clinical trial certificate and provide the committee of the approval before the commencement of the project.

N/A

(h) Will any outcome of tests or research etc be communicated to the research subject(s) involved? In the event that any direct medical benefit for a particular research subject, will the researcher communicate to the research participant?

N/A

(i) Will any radioactive or biohazardous materials be used during the investigation? If yes, please provide detail of the materials.

N/A

(j) Does the project involve the use of diagnostic test results or medical records (e.g. those obtained by imaging or by laboratory testing)? How and where the data be collected or obtained? Is the data anonymous? Is re-identification possible?

N/A

(k) Please state the anticipated benefits or risks of the study.

N/A

9) Checklist of attachments:

- Research proposal / plan / activities                           Yes       N/A
- Participant consent form and / or Assent for the vulnerable subjects / minors.                           Yes       N/A
- Parental/Guardian Consent Form (ref. Part B(2)(d))                           Yes       N/A

- Signed Confidentiality Pledge by the Principal investigators  Yes  N/A (PI) and/or research team members and sample copy of the confidentiality pledge to be used for this project. Please refer to Annex 1 in the guidelines for the sample of the pledge.
- Supplementary Information (Appendix I) for Clinical or Biomedical Research Ethics (ref. Part B(8)), the template form (Appendix I) is enclosed in the following page.
- Copy of ethics approval from other authorities or collaborating institutions, if applicable  Yes  N/A
- Copy of clinical trial certificate, if applicable  Yes  N/A

Declaration

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to adhere to the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.



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Signature

(Principal Investigator/Supervisor)

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8/1/2021

Date

To be Completed by Head of Department / Line Manager

I endorse this application on the basis of the information provided and the declaration of the PI/Supervisor.



28 Jan 2021

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Signature

(                          Head, SS                          )

Date

Full Form for Human Ethical Review (April 2020)

## **Confidentiality Pledge**

### **(for Research Team Members)**

Project/Proposal No.: N/A

Project/Proposal Title: Intervention for fathers of reactive children aggressors in Hong Kong:  
Study of anger expression and father-child relationship

Principal Investigator/Supervisor: Dr. Annis Fung Lai Chu

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Name: Siu Chun Hin

Staff/Student No: 56173700

Department: The Department of Social and Behavioural Sciences

Organization: N/A

### **Confidentiality Pledge**

I understand that I am granted access to sensitive personal data. To ensure that the information is used and handled by authorized personnel only, I hereby pledge that I shall use the data in accordance with the provisions of the Personal Data Privacy Ordinance and according to the policies, procedures and guidelines established by the University from time to time. I shall not disclose such information to any person except on a need-to-know basis. I

will take all reasonable precautions within my control to prevent unauthorized access to such information.



Signature:

Date: 22/12/2020

Endorsed by:



Principal Investigator / Supervisor: \_\_\_\_\_ Date: \_\_\_ 8/1/2021 \_\_\_\_\_

### Research topic

Intervention for fathers of reactive children aggressors in Hong Kong: Study of anger expression and father-child relationship

### Background

Aggressive behavior of children in school becomes a growing concern in Hong Kong and worldwide (Purdy, 2016). Aggression can be classified into reactive and proactive aggression. Reactive aggression is characterized by behavior of defensive revenge while proactive aggression does not require provocation and is more likely to be instrumental as a means of acquiring rewards from others (Dodge & Coie, 1987). Recent studies have shown that there is an increase prevalence of aggressive behaviors in school (Crespo-Ramos, Romero-Abrio, Martínez-Ferrer, & Musitu, 2017; Pérez-Fuentes, Molero Jurado, Barragán Martín, & Gázquez Linares, 2019). Physical and verbal aggressive behaviors can be found in school, with direct or indirect patterns. Direct physical aggression includes hitting, assaulting to make victims feel intimidated and ask for money while indirect physical aggression may include stealing (Pérez-Fuentes et al., 2019; Wong, 2004). Meanwhile, direct verbal aggression refers to insulting while indirect form refers to talking someone behind their back (Nieto, Portela, López, & Domínguez, 2018). In school, bullying is one of common forms of aggressive behaviors. Bullying refers to repeated physical or mental oppression towards a less powerful person by a more powerful person or group of persons (Olweus, 1991). It includes actions of simple teasing to physical violent actions.

Reactive aggressors are related to anger expression when failure and unfavored experienced happened (Berkowitz, 1962; Dollard, Miller, Doob, Mowrer, & Sears, 1939). Provoking anger in child may lead to further aggressive behaviors. Besides, reactive aggressors are easily affected by own anger when interact with others, causing conflicts and eventually aggressive behaviors to protect themselves (Buss & Perry, 1992). Such emotional dysregulation has found to be a characteristic of reactive aggressors (Card & Little, 2006).

The cognitive, behavioral and emotional development of children are influenced by their surrounding environment including peers, family members and society (Bronfenbrenner, 1979; Jiménez & Estévez, 2017). Correlation between parenting behaviors and personal development have been focused in past few decades (Conger, Neppl, Kim, & Scaramella, 2003). Parents have been found to play an

important role in the development of aggressive behavior among children (Grusec & Dany, 2007; Steinberg, 2001). Parents adopting physical and verbal aggression and hostile behaviors are related to proactive and reactive aggression among children (Skripkauskaite et al., 2015).

Previous research suggested that father absence was related to the aggressive behaviors among children (Berdondini & Smith, 1996). Father's behaviors were found to be more closely related to children's aggressive behaviors such as bullying than mother's behaviors (Říčan, Klicperová, & Koucká, 1993). Inconsistent in parenting style among fathers and mothers may induce children to react with violent behaviors (Carney & Merrell, 2001). In addition, children with aggressive behaviors perceive a strong power imbalance between mother and fathers, with father being more powerful (Stevens, De Bourdeaudhuij, & Van Oost, 2002). These provided clues that fathers have strong influences in the development of aggressive behaviors among children.

Interventions involving parents have often been adopted to treat children with disruptive behavior (Brestan & Eyberg, 1998). Developing better parenting skills have found to be effective in intervention of children with behaviors problem (Foote, Eyberg, & Schuhmann, 1998). Changes in parent-child interaction have demonstrated significant changes in children's behaviors (Bagner & Eyberg, 2003). In light of this, this study aims to investigate the effectiveness of the intervention involving fathers of children with proactive aggressive behaviors in school.

### Hypothesis and research question

The research hypothesis is the intervention can significantly reduce participants' anger expressions and improve father involvement within family. Besides, qualitative research will be performed to investigate if the intervention helps improve father-child relationship.

### Methodology

Fathers of children aged from six to sixteen with aggressive behaviors were recruited by reactive-proactive aggression questionnaires. They were randomly assigned into different intervention groups to undergo 6 counselling sessions. This study involved questionnaires to children with aggressive behaviors and their fathers at two checkpoints, including before intervention and after intervention. Individual

structured interviews were performed to fathers before and after the interventions. Retrospective data will be collected to undergo quantitative and qualitative analysis.

### Quantitative method

#### State-Trait Anger Expression Inventory (STAXI)

The State-Trait Anger Expression Inventory (STAXI) questionnaire is designed to measure the anger expression of an individual (Spielberger, Sydeman, Owen, & Marsh, 1999). The assessment measures scores on six scales including Trait Anger, State Anger, Anger Expression-Out, Anger Expression-In, Anger Control-Out and Anger Control-In.

### Statistical Analysis

Analysis of variance (ANOVA) will be performed on children self-report to assess the changes in anger expression across 6 sessions of intervention. For parent reports, ANOVA will be performed to assess changes of father involvement across 6 sessions of intervention.

### Qualitative method

Individual structured interview will be carried out with the aggressive behaviors and their parents to assess their family relationship.

### Outline of Research Plan

Jan 2021	Retrospective Data Collection
Feb 2021 to Mar 2021	Dissertation

- Bagner, D. M., & Eyberg, S. M. (2003). Father involvement in parent training: When does it matter? *Journal of Clinical Child and Adolescent Psychology*, 32(4), 599-605.
- Berdondini, L., & Smith, P. K. (1996). Cohesion and power in the families of children involved in bully/victim problems at school: An Italian replication. *Journal of Family Therapy*, 18(1), 99-102.
- Berkowitz, L. (1962). Aggression: A social psychological analysis.
- Brestan, E. V., & Eyberg, S. M. (1998). Effective psychosocial treatments of conduct-disordered children and adolescents: 29 years, 82 studies, and 5,272 kids. *Journal of clinical child psychology*, 27(2), 180-189.
- Bronfenbrenner, U. (1979). *The ecology of human development*: Harvard university press.
- Buss, A. H., & Perry, M. (1992). The aggression questionnaire. *Journal of personality and social psychology*, 63(3), 452.
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- Carney, A. G., & Merrell, K. W. (2001). Bullying in schools: Perspectives on understanding and preventing an international problem. *School Psychology International*, 22(3), 364-382.
- Conger, R. D., Neppl, T., Kim, K. J., & Scaramella, L. (2003). Angry and aggressive behavior across three generations: A prospective, longitudinal study of parents and children. *Journal of abnormal child psychology*, 31(2), 143-160.
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- Dodge, K. A., & Coie, J. D. (1987). Social-information-processing factors in reactive and proactive aggression in children's peer groups. *Journal of personality and social psychology*, 53(6), 1146.
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- Grusec, J. E., & Dany, L. (2007). Parents' attitudes and beliefs: Their impact on children's development. *New York: Parenting Skills*.
- Jiménez, T. I., & Estévez, E. (2017). School aggression in adolescence: Examining the

- role of individual, family and school variables. *International Journal of Clinical and Health Psychology*, 17(3), 251-260.
- Nieto, B., Portela, I., López, E., & Domínguez, V. (2018). Verbal violence in students of compulsory secondary education. *European Journal of Investigation in Health, Psychology and Education*, 8(1), 5-14.
- Olweus, D. (1991). Bully/victim problems among schoolchildren: Basic facts and effects of a school based intervention program. *The development and treatment of childhood aggression*, 17(17), 411-448.
- Pérez-Fuentes, M. D. C., Molero Jurado, M. d. M., Barragán Martín, A. B., & Gázquez Linares, J. J. (2019). Family functioning, emotional intelligence, and values: Analysis of the relationship with aggressive behavior in adolescents. *International journal of environmental research and public health*, 16(3), 478.
- Purdy, N. (2016). School bullying in different cultures: Eastern and Western perspectives. In: Taylor & Francis.
- Říčan, P., Klicperová, M., & Koucká, T. á. (1993). Families of bullies and their victims: A children's view. *Studia Psychologica*.
- Skripkauskaitė, S., Hawk, S. T., Branje, S. J., Koot, H. M., van Lier, P. A., & Meeus, W. (2015). Reactive and proactive aggression: Differential links with emotion regulation difficulties, maternal criticism in adolescence. *Aggressive Behavior*, 41(3), 214-226.
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**City University of Hong Kong**

Intervention for fathers of reactive children aggressors in Hong Kong: Study of anger expression and father-child relationship

**Consent Form**

This project is specially designed for families who have children aged six to sixteen. It aims at reducing children's aggressive behaviour by enhancing parents' parenting efficacy, parental involvement and parental satisfaction through the group intervention programme. This project is under supervision of the Principal Investigator (PI), Dr. Annis FUNG Lai Chu, Associate Professor of Department of Social and Behavioural Sciences, City University of Hong Kong.

For research assessment and evaluation purpose, you and your targeted child would be invited to fill up questionnaires respectively at three checkpoints: (1) before and (2) after the group intervention, and (3) six-month follow-up study. Data collected from the questionnaires will be all cautiously handled with confidentiality. All personal information and data will be destroyed three years after the completion of the project.

There are two kinds of intervention groups in this project, you and your targeted child will be randomly assigned to either one of the both. Both of the groups are related to parenting education. These groups will be conducted by well-trained social workers from the Wanchai Integrated Family Service Centre of St James' Settlement.

If you have any questions about the project and consent form, please feel free to contact us at 3442-2923.

Please  and sign up the form if you agree with the following item:

**I hereby give consent to participate in: Group activities with my child / Self-reported questionnaires /Child-reported questionnaires\*** (\*Delete where inappropriate).

Name of the participant (in BLOCK letters):\_\_\_\_\_

Signature of the participant: \_\_\_\_\_

Date : \_\_\_\_\_

Name of child (in BLOCK letters):\_\_\_\_\_

Signature of the child: \_\_\_\_\_

Date : \_\_\_\_\_

## 香港城市大學

### 同意書

本計劃是為六至十六歲兒童的家庭而設。本計劃旨在通過家庭輔導，增加家長對兒童的親職效能以及家長參與，從而降低兒童的行為問題。

是次計劃邀請閣下及子女完成共兩份問卷，分別為小組前（前測）、小組後（後測）。在填寫問卷的過程中，部分問題可能涉及閣下及 貴子女的私隱和價值取向。參與純屬自願性質，所收集的資料只作研究及設計本次計劃活動內容之用。所有個人資料將不會外洩，請放心填寫，問卷將於計劃完畢後三年被銷毀。

是次計劃將會分成兩組，你與你的子女將被隨機分派至其中一組。兩個輔導組別皆與親職教育有關，並由聖雅各福群會灣仔綜合家庭服務中心的專業社工所帶領。

如有問題，可致電 3442 2923 聯絡。

如同意參與此工作坊，請以□表示。

我同意：與子女參與小組輔導/家長自我報告問卷/子女自我報告問卷 (\*請刪除不適用者)

家長姓名:\_\_\_\_\_

家長簽署:\_\_\_\_\_

日期 : \_\_\_\_\_

子女姓名:\_\_\_\_\_

子女簽署:\_\_\_\_\_

日期 : \_\_\_\_\_

## 學「模」「子」境工作坊

### 家長評估訪問問卷(前測)

x 先生，多謝你參加學「模」「子」境工作坊，該工作坊共有六節，而進行工作坊前會先進行訪談，是次為第一次訪談，當第六節工作坊完結後會進行第二次訪談。我們希望透過是次訪談了解更多有關你的家庭情況，而當中會問及有關子女的情況，如果你有多過一個子女，請選出一個你認為行為問題最為嚴重的子女來回答。為了方便我們日後整理資料以作研究及改善工作坊之用，是次的訪問將會被錄音，但所有資料絕對保密。如果中途有地方不想被錄音，你可以跟我提出，我會停止錄音。當你覺得可以才會繼續錄音。如果沒有問題，我們開始進行訪談。

#### Pre-test audio-recording consent

Thank you for joining our study. This study includes 6 counselling sessions. There will be interview before and after 6 counselling sessions. The aim of the interview is to have a deeper understanding about your family and your child. If there are more than one child in your family, please specific one with more severe behavioural problem in the interview. For research purpose, the interview will be audio recorded. All data will be cautiously handled with confidentiality. Please feel free to stop the recording during the interview.

## 學「模」「子」境工作坊

### 家長評估訪問問卷(後測)

x 先生，多謝你參加學「模」「子」境工作坊，是次為第二次訪談。我們希望透過是次訪談了解更多有關是次工作坊如何影響你的家庭情況，而當中會問及有關子女的情況，請根據你第一次訪談時認為行為問題最為嚴重的子女來回答。為了方便我們日後整理資料以作研究及改善工作坊之用，是次的訪問將會被錄音，但所有資料絕對保密。如果中途有地方不想被錄音，你可以跟我提出，我會停止錄音。當你覺得可以才會繼續錄音。如果沒有問題，我們開始進行訪談。

#### Post-test audio-recording consent

Thank you for joining our study. This is our second interview after the 6 counselling sessions. The aim of the interview is to have a deeper understanding about your family and your child. If there are more than one child in your family, please specific one with more severe behavioural problem in the interview. For research purpose, the interview will be audio recorded. All data will be cautiously handled with confidentiality. Please feel free to stop the recording during the interview.

**FORM A****CITY UNIVERSITY OF HONG KONG  
RESEARCH COMMITTEE****Human Research Ethics Checklist**

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <https://www.cityu.edu.hk/ro/studentlan/dlHuman.htm> before completing this form.
- This form must be typewritten and completed in English. No data collection or analysis can be commenced before obtaining ethics approval.
- In addition to the human research ethics, applicants are reminded to comply with the University's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

For staff applications, the completed form should be forwarded to **RO**.

For student applications, the completed form should be forwarded to **College/School Human Subjects Ethics Sub-Committee** via respective College/School offices

**Part A: Basic Information**

Please check as appropriate:

- |  |  |
|--|--|
| <input type="checkbox"/> Staff Application | <input checked="" type="checkbox"/> Student Application*   |
| <input type="checkbox"/> New Study         | <input type="checkbox"/> Continuation of the approved study<br>(please provide approved ethics application no.: _____) |

Title of Research/Student Project:	Explicit Self-esteem, Implicit Self-esteem and Relationship Satisfaction
Name of Principal Investigator (PI)/Supervisor*:	Dr. YE Shengquan Sam
Department:	Department of Social and Behavioural Sciences
Email/Tel:	takyla2223-c@my.cityu.edu.hk / 98066217
Co-Investigator(s): (Name and Unit/Organization)	
Grant Type, if any	
Proposal/Project No., if any	

**For Student Project\***

Name of Student Investigator (Dept)	Lai Tak Yee
Study programme (Bachelor's Degree, MPhil, PhD etc. Please specify)	MSSAPSY

\* In the case of student research, the supervisor assumes this responsibility

## **Part B: Research Methods and Other details**

### i) **Research Method and Source of Data**

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing, academic records, personal documents)
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify\_\_\_\_\_

### ii) **Where will the data collection/experiment take place?** Please specify the place, region or country.

It is via the Internet in Hong Kong.

### iii) **Will the external co-investigator be responsible for data collection at their institution?** If yes, please provide the proof of ethics approval from the relevant affiliating institutions.

No, there is no external co-investigator.

### iv) **Is ethics approval from other authorities required?** e.g., Hospital Authority.

If yes, please indicate the names of the approval authorities and provide a copy approval document. If such approval is not available at the time of ethics application, please provide reason and indicate the timelines of obtaining such approval.

No, it is not required.

### **Part C: Ethical Issues**

To determine whether an expedited review or a full review is required, please check the following items and forward to your Head of Department for endorsement.

If you have checked "yes" to any of the items below, you must go through a full review. Please fill in the completed checklist (Form A) **AND** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>.

		Yes	No	Please provide relevant information under each item to facilitate consideration for an expedited review
1.	Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate in the study (e.g. children under a certain age which requires parental/guardian custody by law (i.e. under the age of 18 in Hong Kong), people with developmental disabilities)? If so, parental/guardian consent must be obtained.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
2.	Will deception of participants e.g. misleading participants be necessary during the study?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The implicit association test is to assess the attitudes and perception of participants based on their instant responses. Although there is no deception, it may not look clear to the participants what this test is assessing. There is no foreseeable risk for this task.
3.	Will financial inducements/incentives (other than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned) be offered to participants?  If so, please specify details e.g. value, in cash or in kind, the usual rate for the discipline concerned and applicable precedent cases	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
4.	Will the study involve sensitive aspects of the participant's own behaviour such as illegal conduct, drug or alcohol use, and sexual conduct?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
5.	If the observations on the participants are disclosed, will it reasonably place the participant at risk of criminal or civil liability or be damaging to the participant's financial standing, employability, or reputation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
6.	Will the study/experiment induce psychological stress?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

7.	Is pain or discomfort likely to result from the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
8.	Will the study involve prolonged and repetitive testing sessions which result in pain, fatigue, other form of physical discomfort, danger, physical harm or medical risks or other risks?  If so, please explain the duration and the times of the testing sessions.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
9.	Will the study involve the collection of identifiable or personal information (i.e. information that is not anonymous) from participants? Is re-identification possible during the data extraction process of using a unique identifier such as human cells or personal data?  If so, explain, a) whether sensitive or private information, including contact details will be collected, b) how confidentiality of the information collected will be maintained, c) the arrangements for the disposal of electronic and physical records when the research project is completed and d) the timing of such disposal.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
10.	Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

If you have checked "yes" to any of the above items, you must go through a full review. Please fill in the completed checklist (Form A) **and** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>. In general, a full review is not required for:

- Research studies that are based entirely on authorized use of publicly available information, documents, records, works, performances, or archival materials
- Research studies that involve only surveys or observation of officials/individuals in the public arena in a public capacity.
- Studies that involve identifiable participants but no sensitive or private information will be collected.

#### **Part D: Checklist of attachments:**

- Research Proposal / plan / activities (in English)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Sample of consent forms if human subjects involved	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Signed confidentiality pledges by PI and/or team members	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Ethics approval from other authorities (Part B (iii & iv refer)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A

**Declaration**

I have read the guidelines on ethical review of human research -and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to conduct the research and/or activities in compliance with the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

  
Sam S

Signature  
(Principal Investigator/Supervisor\*)

23/2/2021

Date

**To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of information provided and declaration of the PI/Supervisor.

  
Samuel

Signature  
( Head, SS )

24 FEB 2021

Date

Research CommitteeAPPLICATION FOR ETHICAL REVIEW (FULL REVIEW) OF STAFF/STUDENT'S  
HUMAN RESEARCH

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English.
- For the full ethical review application, please submit this application (Form B) together with the completed checklist (Form A) and other documents requested in the Checklist of attachments.
- In addition to human research ethics, applicants are reminded to comply with the university's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

**Part A: Basic Information**

Please check as appropriate:

- |  |  |
|--|--|
| <input type="checkbox"/> Staff Application | <input checked="" type="checkbox"/> Student Application*   |
| <input type="checkbox"/> New study         | <input type="checkbox"/> Continuation of the approved study<br>(please provide approved ethics application no.: _____) |

1) Title of Research Project

Explicit Self-esteem, Implicit Self-esteem and Relationship Satisfaction

2) Principal Investigator / Supervisor\*

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\* In the case of student research, the supervisor assumes this responsibility.

### 3) Type of Project

Grant Type, if applicable \_\_\_\_\_

Other (please specify) \_\_\_\_\_

Funding Agency (if applicable) \_\_\_\_\_

Thesis Research                    PhD \_\_\_\_\_ MPhil  Bachelor's Degree \_\_\_\_\_

## **Part B: Proposal/Project Details and Methodology**

### 1) Objectives and Details of Procedures / Methodology

#### (a) Aims and Objectives

The objective of this study is to examine whether implicit self-esteem moderated the relationship between explicit self-esteem and relationship satisfaction.

#### (b) Research Methods and Source of Data

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing , academic records, personal documents)
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify \_\_\_\_\_

(c) Details of Procedures / Methodology

A convenience sample of 150 university students from two universities in Hong Kong will be recruited for the study. The participants should be aged 18 – 50 and currently in an intimate relationship.

2) Participant(s) Involved in the Research

(a) approximate number

150

(b) age group

Aged 18-50

(c) how obtained/recruited

The participants are required to complete three instruments (Rosenberg's self-esteem scale , The self-esteem implicit association test & Self-reported couples satisfaction index) and some demographic information using the Internet.

(d) vulnerable research participants

- (i) Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate (e.g. children under a certain age which requires parental/guardian custody by law, people with developmental disabilities)? If so, please specify the details of the vulnerability. Please attach parental/guardian consent form and a copy of the assent form for the vulnerable subjects who are able to express their willingness consent. (Corresponds to Question 1 of Form A)

No

- (ii) If the research involves young children or vulnerable adults who require supervisory arrangement , please specify the details of the supervisory arrangements that put in place to ensure their safety and comfort during their interaction with the researcher, e.g. the presence of the parent, teacher or a social worker. Please explain the reasons if no such arrangement is in place.

No

(e) Are there any inclusion and / or exclusion criteria for the participants? Please provide details, if any.

No

(f) How long will it take for each participant to do lab tests or be involved, over the period?

15 Minutes

(g) Will there be any payment/incentive made to the participants? Will financial inducements/incentives higher than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned be offered to participants? If so, please specify details, e.g. value, in cash or in kind, the usual rate for the discipline concerned, and precedent cases in prior published studies. (Corresponds to Question 3 of Form A)

No

(h) Are there any possible benefits other than incentive payment to participants?

No

(i) Where will the data collection/experiment take place? Please specify the place, region or country

Hong Kong

(j) Who will perform the data collection? If external co-investigator(s) will be responsible data collection at their own institution or country, please provide the proof of ethics approval from the relevant affiliating institutions.

Only Student Investigator

(k) information on whether the researcher(s) is/are in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee. If yes, please state details about the conflict of interest and how that potential conflict can be addressed.

No

(l) Is approval from other authorities required?

No

3) Answer each of the following questions "Yes" or "No"

Do your procedures expose your participants to any risk of :

Yes      No    Type of risk

- deception ....
- invasion of privacy .....
- criminal or civil liability
- damaging to the participant's financial standing, employability, or reputation...
- stress, emotional distress or other form of psychological discomfort.....
- pain, fatigue, other form of physical discomfort, danger, physical harm or medical risk.....
- noxious stimulation/procedure.....
- re-identification during data extraction process or using a unique identifier, personal data...etc
- other risk(s) (please specify) : \_\_\_\_\_

4) If you have answered "Yes" to any of the above questions in Part B(3), please complete 4(a) to 4(e):

- (a) Estimate the degree of risk involved (e.g. to assess the level of psychological stress that will be induced, who will evaluate it or what psychological test/tool will be used to evaluate it)

The implicit association test is to assess the attitudes and perception of participants based on their instant responses. Although there is no deception, it may not look clear to the participants what this test is assessing. There is no foreseeable risk for this task.

- (b) Describe the steps/measures you will take to minimize the risk and to protect your participants from the risks.

I will arrange the self-esteem implicit association test after the Rosenberg's self-esteem scale so that they may know it is somehow related to self-esteem.

- (c) How will you explain the risk to your participants?

The participant information sheet will indicate this study included implicit self-esteem and their rights were fully explained in the information sheet.

- (d) How will you obtain their consent to take part in the research?

Participants need to agree the consent form before the tests begin.

- (e) Describe how the participants will be debriefed after the study. What feedback of findings will be offered to participants, e.g. access to transcripts of interviews, drafts or final reports?

There is no debriefing after the study.

5) Are there any possible risks to the health or safety of the researcher(s) or the field staff when undertaking the research? If yes, please specify the potential risks and what precautions or measures to minimize the risks.

No

6) Will you collect identifiable or personal information? (Corresponds to Question 9 of Form A)

Yes       No

Is re-identification possible during data extraction process or using unique identifier?

Yes       No

If you answered "Yes" to the previous questions, please complete 6(a) to 6(e):

(a) Describe the type of identifying data you will collect (e.g. name, ID card, email address...) and/or describe how likely the re-identification is possible.

(b) Will image, photography, video-recording or audio-recording be collected or used during the study? Please specify details.

(c) How will you collect these identifying data, photography, video/audio-recording? What is the purpose for collecting these data? How will you use these data?

(d) What procedures will you follow to make sure that your participants cannot be identified or re-identified?

(e) What precautions will you take to ensure the security of the data, e.g. restricting access to authorized personnel, signed confidentiality pledge or undertaking by data users, data storage strategies, encryption, offline storage? Please provide details and justifications for photography, video or audio recording and storage strategies, if applicable.

(f) How and when will you dispose of these identifiable/personal data? Please describe the arrangements for the disposal of electronic and physical records and the timing of such disposal.

**Important Note:** If sensitive or private information will also be collected, please check whether "invasion of privacy" in Question 3 is one of the risks.

7) Future use and sharing of research data / materials

Is there any possibility that the personal date / research data / materials collected in this project will be used in any future related or unrelated research by the applicant or shared with other researchers or made it available for use by the funders?

If yes, please describe what type of data will be used in the future, how the data will be used, how confidentiality be maintained, who will have access and how the participants' consent will be sought, will the raw data be anonymised?

No

8) Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies? (Corresponds to Question 10 of Form A)

Yes       No

If yes, please complete the following questions and the attached *Supplementary Information for Clinical or Biomedical Research Ethics* (Appendix I).

(a) Does the research involve Human Subjects who are alive? How and where will the study and/or data collection be conducted? If human tissues or fluids will be collected, please indicate the exact amounts and frequency with which the samples will be taken.

(b) Will biological materials such as human tissues, microbial isolate and human genetic materials (DNA, RNA) be used? How will the data be collected or obtained?

(c) Will the biological materials be destroyed? When will these materials be destroyed?

If no, please provide reason and indicate where and how materials / data will be stored, how long the data will be stored, who can access the materials/data, permission has been given for the storage of the these materials.

(d) Will the biological materials be used for other related and/or unrelated research by the applicant and/or other researchers in the future? If yes, does the consent form inform the participants about this? Has the permission been given by the data owner?

(e) Will the biological materials be exported other site(s), locally or internationally? If yes, please explain the reasons and whether the local laws, permission and customs has been addressed.

(f) Is there any possibility for genetic research? Please explain what this is and any implications.

(g) Is clinical trial on human being required? Will any medicine / intervention be tested during the investigation? If yes, has approval for the certificate for clinical trial been obtained? If no, PI should undertake hereby to register the clinical trial certificate and provide the committee of the approval before the commencement of the project.

(h) Will any outcome of tests or research etc be communicated to the research subject(s) involved? In the event that any direct medical benefit for a particular research subject, will the researcher communicate to the research participant?

(i) Will any radioactive or biohazardous materials be used during the investigation? If yes, please provide detail of the materials.

(j) Does the project involve the use of diagnostic test results or medical records (e.g. those obtained by imaging or by laboratory testing)? How and where the data be collected or obtained? Is the data anonymous? Is re-identification possible?

(k) Please state the anticipated benefits or risks of the study.

9) Checklist of attachments:

- |   |   |   |
|---|---|---|
| • Research proposal / plan / activities   | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Participant consent form and / or Assent for the vulnerable subjects / minors.  | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Parental/Guardian Consent Form (ref. Part B(2)(d)   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Signed Confidentiality Pledge by the Principal investigators (PI) and/or research team members and sample copy of the confidentiality pledge to be used for this project. Please refer to Annex 1 in the guidelines for the sample of the pledge. | <input checked="" type="checkbox"/> Yes | <input type="checkbox"/> N/A            |
| • Supplementary Information (Appendix I) for Clinical or Biomedical Research Ethics (ref. Part B(8)), the template form (Appendix I) is enclosed in the following page.   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Copy of ethics approval from other authorities or collaborating institutions, if applicable   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |
| • Copy of clinical trial certificate, if applicable   | <input type="checkbox"/> Yes            | <input checked="" type="checkbox"/> N/A |

Declaration

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to adhere to the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.



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Signature  
(Principal Investigator/Supervisor)

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23/2/2021

Date

To be Completed by Head of Department / Line Manager

I endorse this application on the basis of the information provided and the declaration of the PI/Supervisor.



24 FEB 2021

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Signature  
( Head SS )

Date

Full Form for Human Ethical Review (April 2020)

## **Confidentiality Pledge** **(for Research Team Members)**

Project/Proposal No.: N/A

Project/Proposal Title: Explicit Self-esteem, Implicit Self-esteem and Relationship Satisfaction

Principal Investigator/Supervisor: Dr. YE Shengquan Sam

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Name: Lai Tak Yee

Staff/Student No: 50354105

Department: Department of Social & Behavioural Sciences

Organization: City University

of Hong Kong

### **Confidentiality Pledge**

I understand that I am granted access to sensitive personal data. To ensure that the information is used and handled by authorized personnel only, I hereby pledge that I shall use the data in accordance with the provisions of the Personal Data Privacy Ordinance and according to the policies, procedures and guidelines established by the University from time to time. I shall not disclose such information to any person except on a need-to-know basis. I will take all reasonable precautions within my control to prevent unauthorized access to such information.



Signature: \_\_\_\_\_

Date: 23/2/2021

Endorsed by:

Principal Investigator / Supervisor: Sam 

Date: 23/2/2021

## **Project Title:** Explicit Self-esteem, Implicit Self-esteem and Relationship Satisfaction

### **1. Introduction**

Self-esteem refers to self-evaluation of an individual which can be either positive or negative. The first appear of self-esteem was in the work of William James (1892) in which he defined it as self-appraisal and was able to be measured objectively. Some researchers pointed out that self-esteem is comparatively stable across the life span even comparable to Big Five personality traits (Kuster & Orth, 2013).

Researchers constantly define self-esteem as high and low. People with high self-esteem find themselves worthy as well as have a sense of self-respect. They also seems to be more extraverted, psychologically stable and open-minded (Robins, Tracy, Trzesniewski, Potter, & Gosling, 2001). High self-esteem is related to better prospects for many important life outcomes, e.g. career success (Judge & Bono, 2001; Judge & Hurst, 2008; Kammeyer - Mueller, Judge, & Piccolo, 2008; Kuster, Orth, & Meier, 2013; Salmela-Aro & Nurmi, 2007), income (Judge & Hurst, 2008; Judge, Hurst, & Simon, 2009; Twenge & Campbell, 2002), and physical health (Benyamin, Leventhal, & Leventhal, 2004; Erol & Orth, 2011; Mäkikangas, Kinnunen, & Feldt, 2004). Meanwhile, people with low self-esteem seem to be a lack of confidence and feel worthless of themselves. They are also linked with negative outcomes, e.g. mental problem (Leary, Schreindorfer, & Haupt, 1995; Li, Chan, Chung, & Chui, 2010; Orth & Robins, 2013; Orth, Robins, & Roberts, 2008; Steiger, Allemand, Robins, & Fend, 2014), physical health problem (Antonucci, & Jackson, 1983 ; Li, et al., 2010; Trzesniewski, et al., 2006) and even delinquent behavior (Mier, & Ladny, 2018; Trzesniewski, et al., 2006).

As a matter of fact, the linkage between self-esteem and psychological well-being has been well studied by many researchers. Numerous research showed that self-esteem is positively associated with well-being (Diener, 1984; Diener & Diener, 2009; Paradise & Kernis, 2002; Sedikides, Rudich, Gregg, Kumashiro, & Rusbult, 2004). Also, researchers seems to have special interest in relationship satisfaction due to its remarkable importance on personal well-being (Bradbury, Fincham, & Beach, 2000). For this reason, I will focus on the association between self-esteem and relationship satisfaction in this research.

### **Self-Esteem and Romantic Relationship**

Similar to the linkage between self-esteem and well-being, most of the researchers found that self-esteem is positively associated with relationship satisfaction (Barnett & Nietzel, 1979; Erol & Orth, 2013, 2014; Fincham & Bradbury, 1993; Sciangula & Morry, 2009; Shackelford, 2001; Tackett, Nelson, & Busby, 2013; Terry & Scott, 1987; Voss, Markiewicz, & Doyle, 1999). However, this argument has two sides. There is another possibility that relationship satisfaction affects self-esteem. In 2017, Erol and Orth reviewed the relevant studies especially those longitudinal ones and concluded that the available research evidence supports more on the causal relation of self-esteem affecting relationship satisfaction. In the paper, they provided several examples, like the experiments made by Fincham and Bradbury (1993), Neyer and Asendorpf (2001) and Orth and his colleagues (2012), which demonstrated that relationship satisfaction did not predict self-esteem. Also, Lavner and his colleagues (2012) found that the initial differences in self-esteem distinguished the later relationship satisfaction of the couples.

They reported that initial lower self-esteem people were the most distressed groups while the initially higher self-esteem people had higher satisfaction in their marital relationship.

On the other hand, some studies reported that individuals with high self-esteem are more positively perceive their partners' regards while individuals with low self-esteem are more negatively perceive their partner's regards (DeHart, Pelham, & Murray, 2004; Murray, Rose, Bellavia, Holmes, & Kusche, 2002). Therefore, in order to reduce the possible rejection from their partners, low self-esteem partners will distance themselves to avoid disappointment which reduce the relationship satisfaction. In contrast, high self-esteem people believed that their partners have positive regards on them and they are more responsive to their partners so that their relationship satisfaction will be higher (Murray, Holmes, Griffin; 2000).

In sum, prior research supports that individuals with higher self-esteem would have higher level of relationship satisfaction over time and vice versa.

### **Discrepancies between Implicit and Explicit Self-Esteem**

In 1995, Greenwald and Banaji first introduced implicit self-esteem which they believed that self-esteem can be separated into conscious and unconscious. Implicit self-esteem is typically defined as an unconscious, automatic and overlearned self-evaluation (Greenwald & Banaji, 1995; Pelham & Hetts, 1999). While, explicit self-esteem is defined as a conscious and deliberate self-evaluation. Some researchers proposed dual-process models to explain explicit and implicit self-esteem. It proposed that humans possess two modes of mental process: cognitive information processing is slow, rational, deliberative and conscious in nature; other is experiential information processing which is fast, associative, affective, automatic and nonconscious in nature (Chaiken and Trope, 1999; Epstein, 1994; Epstein & Morling, 1995; Smith, & DeCoster, 2000). Implicit self-esteem is regarded as an outcome from experiential mode of thinking, and it is originated from automatic and intuitive processing of affective experiences. While explicit self-esteem is regarded as an outcome from cognitive mode of thinking which is attained through logical and conscious way of self-relevant information processing.

Recent literature (Bosson, Brown, Zeigler-Hill, & Swann, 2003; Jordan, Spencer, Zanna, Hoshino-Browne, & Correll, 2003) suggested that people can hold inconsistent implicit and explicit self-esteem. The outcome of this inconsistence is discrepant self-esteem which has two forms: one is the combination of high explicit self-esteem and low implicit self-esteem, and other combination is low explicit self-esteem and high implicit self-esteem. The former is regarded as fragile because their simultaneous low implicit self-esteem characterized them as insecurities and self-doubts in nature. The later is regarded as damaged and people with this type of discrepant self-esteem are frequently associated with psychological distress (Schröder - Abé, Rudolph, & Schütz, 2007). In contrast, individual with consistent explicit and implicit self-esteem has congruent self-esteem. People with high explicit and implicit self-esteem is thought to be secure and it is also the most stable form of self-esteem combination (Zeigler - Hill, 2006).

The objective of this study was to examine whether implicit self-esteem moderated the relationship between explicit self-esteem and relationship satisfaction. As mentioned above, most of the current findings concerning relationship satisfaction and self-esteem were focused on explicit self-esteem. It is limited studies investigating the influence of implicit self-esteem in relationship satisfaction. A limited findings reported that low implicit self-esteem, similar to low explicit self-esteem, is associated with reducing relationship closeness behaviors (Peterson & Dehart, 2013). Zeigler-Hill, Fulton, and McLemore (2012), was one of the few research studying the relationship between explicit/implicit self-esteem and relationship quality, and it revealed that not only the combination of explicit and implicit self-esteem influence mate retention strategies and likelihood of future unfaithfulness, gender difference also affects these relationship outcomes. The result showed that men with fragile self-esteem used less mate retention strategies and have greater chance of future unfaithfulness as well as perceived likelihood of partner unfaithfulness, while women has no such tendency. Although the study did not measure the relationship satisfaction directly, it is clear that mate retention strategies and likelihood of unfaithfulness are the important factors for relationship satisfaction. On the basis of the finding, we tested four hypotheses in this study.

*Hypothesis 1:* Implicit self-esteem moderates the relationship between explicit self-esteem and relationship satisfaction.

*Hypothesis 2:* People with congruent high self-esteem have the highest level of relationship satisfaction.

*Hypothesis 3:* People with congruent low self-esteem have the least level of relationship satisfaction.

*Hypothesis 4:* Men with discrepant high self-esteem have lower level of relationship satisfaction than men with discrepant low self-esteem.

## 2. Methods

### 2.1 Participants

A convenience sample of 150 university students from two universities in Hong Kong will be recruited for the study. The participants should be aged 18 – 50 and currently in an intimate relationship. They are required to complete three instruments (described below) and some demographic information using the Internet.

### 2.2 Materials

#### 2.2.1 Explicit Self-esteem

Explicit self-esteem will be assessed by Self-reported Rosenberg's self-esteem scale (Rosenberg, 1965), which is the most widely used instrument of global self-esteem. It is a 10-items questionnaire with 5 scales ranging from 1 (strongly disagree) to 5 (strongly agree). The total scores can range from 4 to 40 in which higher scores indicate higher self-esteem and vice versa.

### ***2.2.2 Implicit Self-esteem***

The self-esteem implicit association test (IAT; Greenwald & Farnham, 2000) will be used to assess implicit self-esteem. It is a computerized test that uses to test the automatic association of ‘self’ and ‘other’ words with pleasant and unpleasant words. Participants need to categorize randomly generated words into self-other and/or pleasant-unpleasant category as quickly as possible. The response time as well as the correctness of the response will be

### ***2.2.3 Relationship Satisfaction***

Self-reported couples satisfaction index (CSI; Funk & Rogge, 2007) will be used to assess the satisfaction of participant’s current romantic relationship. It is a 32-item questionnaire with different response formats and scales. The result scores can be ranged from 0 to 161 in which higher scores indicate higher satisfactory level in relationship and vice versa.

## References

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## **EXAMPLE PARTICIPANT INFORMATION SHEET & E-CONSENT**

### **PROJECT TITLE**

Explicit Self-esteem, Implicit Self-esteem and Relationship Satisfaction

### **INVITATION**

My name is Lai Tak Yee. I am a Final Year graduate student at the City University of Hong Kong. I am currently working on my Final Year Project under the supervision of Dr. Ye Shengquan, Sam. we would like to invite you to take part in our research study, which concerns about the relationship between explicit/implicit self-esteem and relationship satisfaction. It has been approved by the Research Ethics Review Committee of the Department of Social and Behavioural Sciences.

### **WHAT WILL HAPPEN**

In this study, you will be asked to complete a questionnaire, in which may take 10 minutes in total.

### **PARTICIPANTS' RIGHTS**

You may decide to stop being a part of the research study at any time without explanation. You have the right to ask that any data you have supplied to that point be withdrawn/destroyed. You will not be penalized if you withdraw. You have the right to omit or refuse to answer or respond to any question that is asked of you. You have the right to have your questions about the procedures answered. If you have any questions as a result of reading this information sheet, you should ask the researcher before the study begins.

### **BENEFITS AND RISKS**

There are no known benefits or risks for you in this study. It is hoped that the research will contribute to know more about the impact of explicit/implicit self-esteem on personal well-being.

### **COST, REIMBURSEMENT AND COMPENSATION**

Your participation in this study is voluntary.

### **CONFIDENTIALITY/ANONYMITY**

The data we collect do not contain any personal information about you. There is no potential risks or benefits induced if you participate in our study. The data obtained from this research will be kept confidential and be used for research purposes only. All data will be destroyed 6 months after the research is completed.

### **FOR FURTHER INFORMATION**

If you have any questions about this research, please feel free to contact me at takyla2223-c@my.cityu.edu.hk.

### **CONSENT TO TAKE PART**

If you agree to take part in the research, please click on the link: *[questionnaire hyperlink link]*

**Clicking on the “next page/ continue” button implies an understanding of all information stated above and that you are at least 18 years of age and participate voluntarily in this study.**

**CITY UNIVERSITY OF HONG KONG  
RESEARCH COMMITTEE**

### Human Research Ethics Checklist

#### Notes:

- Please read the attached guidelines for ethical review, which is also available at <https://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English. No data collection or analysis can be commenced before obtaining ethics approval.
- In addition to the human research ethics, applicants are reminded to comply with the University's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

**For staff applications, the completed form should be forwarded to RO.**

**For student applications, the completed form should be forwarded to College/School Human Subjects Ethics Sub-Committee via respective College/School offices**

#### **Part A: Basic Information**

**Please check as appropriate:**

- i)  Staff Application      OR       Student Application\*
- ii)  New Study      OR       Continuation of the approved study  
(please provide approved ethics application no.: \_\_\_\_\_)

Title of Research/Student Project:	Informal caregiving for older people in Nigeria
Name of Principal Investigator (PI)/Supervisor*:	Dr Marcus Chiu
Department:	Social and Behavioural Sciences
Email/Tel:	<a href="mailto:Marcus.Chiu@cityu.edu.hk">Marcus.Chiu@cityu.edu.hk</a>
Co-Investigator(s): (Name and Unit/Organization)	
Grant Type, if any	None
Proposal/Project No., if any	None

#### **For Student Project\***

Name of Student Investigator (Dept)	Chigozie Donatus Ezulike (Department of Social and Behavioural Sciences)
Study programme (Bachelor's Degree, MPhil, PhD etc. Please specify)	PhD programme

\* In the case of student research, the supervisor assumes this responsibility

#### **Part B: Research Methods and Other details**

i) **Research Method and Source of Data**

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing, academic records, personal documents))
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial
- Others: Please specify\_\_\_\_\_

ii) **Where will the data collection/experiment take place?** Please specify the place, region or country.

Nigeria

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iii) **Will the external co-investigator(s) or collaborators be responsible for data collection at their institution?** If yes, please provide the proof of ethics approval. If such approval is not available at the time of ethics application, please provide reason and indicate the timelines of obtaining such approval.

Not applicable

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iv) **Is outsourcing of research work or subcontract activity required for the project?**  
 Yes       No

If yes, please specify the work to be conducted by the service providers and what measures to be taken for ensuring the compliance with the CityU's ethical standard by the service provider:

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(Note: The PI should undertake the responsibility for ensuring the compliance with the CityU's ethical standard by the service provider for the said outsourcing or subcontracting activities.)

v) **Is ethics approval from other authorities required? e.g., Hospital Authority.**

Yes       No

If yes, please indicate the names of the approval authorities and provide a copy of the approval document. If such approval is not available at the time of the ethics application, please provide the reason and indicate the timelines of obtaining such approval.

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**Part C: Ethical Issues**

To determine whether an expedited review or a full review is required, please check the following items and forward to your Head of Department for endorsement.

If you have checked “yes” to any of the items below, you must go through a full review. Please fill in the completed checklist (Form A) **AND** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>.

		Yes	No	Please provide relevant information under each item to facilitate consideration for an expedited review
1	Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate in the study (e.g. children under a certain age which requires parental/guardian custody by law (i.e. under the age of 18 in Hong Kong), people with developmental disabilities)? If so, parental/guardian consent must be obtained.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
2.	Will deception of participants e.g. misleading participants be necessary during the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
3.	Will financial inducements/incentives (other than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned) be offered to participants?  If so, please specify details e.g. value, in cash or in kind, the usual rate for the discipline concerned and applicable precedent cases	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Incentives in form of gift items worth a maximum of HKD103 will be given to each participant. This would serve as a compensation for time and resources spent for the study.
4.	Will the study involve sensitive aspects of the participant's own behaviour such as illegal conduct, drug or alcohol use, and sexual conduct?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
5.	If the observations on the participants are disclosed, will it reasonably place the participant at risk of criminal or civil liability or be damaging to the participant's financial standing, employability, or reputation?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

6.	Will the study/experiment induce psychological stress?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
7.	Is pain or discomfort likely to result from the study?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
8.	Will the study involve prolonged and repetitive testing sessions which result in pain, fatigue, other form of physical discomfort, danger, physical harm or medical risks or other risks?  If so, please explain the duration and the times of the testing sessions.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
9.	Will the study involve the collection of identifiable or personal information (i.e. information that is not anonymous) from participants? Is re-identification possible during the data extraction process of using a unique identifier such as human cells or personal data?  If so, explain a) whether sensitive or private information, including contact details will be collected, b) how confidentiality of the information collected will be maintained, c) the arrangements for the disposal of electronic and physical records when the research project is completed and d) the timing of such disposal.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Since the research student has an informal relationship with some of the participants and the data will be collected by the same research student, it is possible to re-identify the data from the research participants. Confidentiality of the information collected will be maintained by anonymizing the data and ensuring that no third-party gains access to the information. All audio-recorded interviews will be deleted from the recording device at the completion of the study when data has been analyzed.
10.	Is/Are the researcher(s) in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
11.	Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	

If you have checked “yes” to any of the above items, you must go through a full review. Please fill in the completed checklist (Form A) **and** submit the application form for full review (Form B). The application form is available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm> In general, a full review is not required for:

- a. research studies that are based entirely on authorized use of publicly available information, documents, records, works, performances, or archival materials
- b. research studies that involve only surveys or observation of officials/individuals in the public arena in a public capacity.
- c. studies that involve identifiable participants but no sensitive or private information will be collected.

**Part D: Checklist of attachments:**

- Research Proposal / plan / activities (in English)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- (i) Sample of the consent form for Human Subjects; and - (ii) Sample of the Agreement of the Use of Photography, Audio/Video Recording (if applicable)	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A 
(Note: The sample(s) of the consent form and/or the agreement for the use of photography, audio/video recording must be appended to this ethics application unless no human subject/participant is involved.)		
- Signed confidentiality pledges by PI and/or team members	<input checked="" type="checkbox"/> YES	<input type="checkbox"/> N/A
- Evidence of ethics approval from external investigator(s) or collaborator(s) (Part B (iii) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A
- Evidence of ethics approval from other authorities (Part B (v) refers)	<input type="checkbox"/> YES	<input checked="" type="checkbox"/> N/A

**Declaration**

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to conduct the research and/or activities in compliance with the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

I confirm that any service provider(s) involved with the project have in place appropriate policies which are compliant with the ethical requirements and standards of CityU. I undertake responsibility for ensuring compliance with the CityU's ethical requirement/standard during the project.



10 March 2021

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Signature  
(Principal Investigator/Supervisor\*)

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Date

**To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of information provided and declaration of the PI/Supervisor.



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Signature  
( Head SS )

10 MAR 2021

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Date

Checklist for Human Ethical Review (January 2021)

CITY UNIVERSITY OF HONG KONG

FORM B

Research CommitteeAPPLICATION FOR ETHICAL REVIEW (FULL REVIEW) OF STAFF/STUDENT'S  
HUMAN RESEARCH

## Notes:

- Please read the attached guidelines for ethical review, which is also available at <http://www.cityu.edu.hk/ro/studentlan/dlHuman.htm>, before completing this form.
- This form must be typewritten and completed in English.
- For the full ethical review application, please submit this application (**Form B**) together with the completed checklist (**FORM A**) and other documents requested in the Checklist of attachments.
- In addition to human research ethics, applicants are reminded to comply with the university's requirement for the safety/ethics clearance if animal, chemical, biological substances, ionizing/non-ionizing radiation will be used.

Part A: Basic Information

Please check as appropriate:

- (i)       Staff Application    OR       Student Application\*
- (ii)      New study        OR       Continuation of the approved study

(please provide approved ethics application no.: \_\_\_\_\_)

1) Title of Research Project

Informal caregiving for older people in Nigeria

2) Principal Investigator / Supervisor\*

<u>Name</u>	<u>Dept/Unit</u>	<u>Post</u>	<u>Tel. No.</u>	<u>Email</u>
Dr Marcus Chiu	Social and Behavioural Sciences	Assoc. Prof.	3442 5218	Marcus.Chiu@cityu.edu.hk

Co-Investigator(s)

<u>Name</u>	<u>Dept/Organization</u>	<u>Tel. No.</u>	<u>Email</u>
1. _____	_____	_____	_____
2. _____	_____	_____	_____

Student Investigator (applicable to student project\* only)

<u>Name</u>	<u>Dept/Unit</u>	<u>Programme</u>	<u>Email</u>
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<u>Chigozie Donatus Ezulike</u>	<u>Social and Behavioural Sciences/ Social work</u>	<u>PhD</u>	<u>cdezulike2-c@my.cityu.edu.hk</u>
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\* In the case of student research, the supervisor assumes this responsibility.

### 3) Type of Project

Grant Type, if applicable \_\_\_\_\_

Other (please specify) \_\_\_\_\_

Funding Agency (if applicable)

Not applicable \_\_\_\_\_

Thesis Research

PhD  MPhil  Bachelor's Degree

### Part B: Proposal/Project Details and Methodology

#### 1) Objectives and Details of Procedures / Methodology

##### (a) Aims and Objectives

The study aims to investigate the lived experience of family caregivers in Nigeria.

##### (b) Research Methods and Source of Data

Please check that apply:

- Interview
- Observation
- Survey
- Focus Group
- Ethnographic
- Textual analysis (including diagnostic test results or medical records (such as imaging or laboratory testing , academic records, personal documents))
- Use of data sets / secondary data / archival data:  
Please specify the name and source of data \_\_\_\_\_
- Data linkage
- Intervention
- Action research
- Experimental procedures
- Human Cells and Materials
- Drugs or isotopes
- Epidemiological
- Blood sampling
- Laboratory study on stored samples
- Clinical Trial

Others: Please specify \_\_\_\_\_

(c) Details of Procedures / Methodology

The proposed study will use a qualitative approach with a hermeneutic phenomenological design. Data will be collected through face-to-face semi-structured in-depth interviews with participants. Forty participants will be sampled purposively from worship centres, hospitals and local communities in Owerri, Imo State, Nigeria. Qualified participants for the study will be caregivers aged 18 years and older and older adults aged 65 years and older. The caregivers being the main study participants, will be interviewed separately from a few selected elderly care recipients and each participant will receive a souvenir as compensation for their time and resources towards the study. During the research, participants have the right to withdraw their participation in the course of their interview or after they have been interviewed. In such a situation, the audio-recorded interview and interview transcript of that participant will be permanently deleted. Withdrawing their participation in the study will neither hinder their receipt of a souvenir nor require them to return the souvenir. There is also a likelihood that the interviews would reveal some quite difficult or emotional caregiving relationships. If such is uncovered, the researcher will seek the consent of both the caregiver and their care recipient to refer them to the welfare agency office in the local government where the interviewees reside, for them to receive support services.

2) Participant(s) Involved in the Research

(a) approximate number

Forty (40) participants comprising of 30 caregivers and 10 older adults

(b) age group

Family caregivers: 18 years and older

Older adults: 65 years and older

(c) how obtained/recruited

Participants will be obtained through convenience samples

(d) vulnerable research participants

- (i) Will the study involve participants who do not possess the legal, physical or mental capacity to provide valid informed consent to participate (e.g. children under a certain age which requires parental/guardian custody by law, people with developmental disabilities)? If so, please specify the details of the vulnerability and tool or test to be used for

evaluating the capacity of the participants, if applicable. Please attach the parental/guardian consent form and a copy of the assent form for the vulnerable subjects who are able to express their consent. (Corresponds to Question 1 of Form A)

No. Only caregivers who have physical and mental capacity will be included in the study. For the elderly care recipients, some may or may not have physical frailty. An individual with physical frailty will only be recruited if such frailty does not hinder their ability to provide fully informed consent to participate in the study. However, those with mental frailty will not be included in the study.

- (ii) If the research involves young children or vulnerable adults who require supervisory arrangement , please specify the details of the supervisory arrangements that put in place to ensure their safety and comfort during their interaction with the researcher, e.g. the presence of the parent, teacher or a social worker. Please explain the reasons if no such arrangement is in place.

The elderly study participants will be older adults who possess full mental capacity. However, upon the request of the participant, another adult family member will be allowed to accompany the participant for the interview.

- (e) Are there any inclusion and / or exclusion criteria for the participants? Which tool or test will be used for evaluating or determining the capacity or suitability of the participants? Please provide details, if any.

In this study, caregivers will be recruited through their older-adult-care recipients. This is because there are no official data or census record of caregivers; only those of older adults are available. Participants to be recruited would be (a) older adults aged 65 years and older who are dependent on family members for assistance with physical activities (b) older adults' informal caregivers aged 18 years and older (c) caregiver who are related to the older adults by blood or marriage.

- (f) How long will it take for each participant to do lab tests or be involved, over the period?

45-60 minutes

- (g) Will there be any payment/incentive made to the participants? Will financial inducements/incentives higher than reasonable expenses and compensation for time applicable to the nature of the study for the discipline concerned be offered to participants? If so, please specify details, e.g. value, in cash or in kind, the usual rate for the discipline concerned, and precedent cases in prior published studies. (Corresponds to Question 3 of Form A)

Yes, incentives in form of gift items worth a maximum of ₦5000 (HKD103) will be given to each participant. The incentives would be for reasonable expenses and compensation for time spent in the study.

- (h) Are there any possible benefits other than incentive payment to participants?

No

(i) Where will the data collection/experiment take place? Please specify the place, region or country

Nigeria

(j) Who will perform the data collection? If external co-investigator(s) or collaborator (s) will be responsible data collection at their own institution or country, please provide the proof of ethics approval from the relevant affiliating institutions. If such approval is not available at the time of the ethics application, please provide reason and indicate the timelines of obtaining such approval.

The research student will be responsible for the data collection.

(k) Is outsourcing of research work or subcontracting activity required for the project? If yes, please specify the work to be conducted by the service providers and what measures to be taken for ensuring compliance with the CityU's ethical standard by the service provider.

No

(l) Is approval from other authorities required? If yes, please indicate the names of the approval authorities and provide a copy of the approval document. If such approval is not available at the time of the ethics application, please provide the reason and indicate the timelines of obtaining such approval.

No

(m) information on whether the researcher(s) is/are in a position of power vis-à-vis the participants e.g. teacher-student, employer-employee. If yes, please state details about the conflict of interest and how that potential conflict can be addressed. (Corresponds to Question 10 of Form A)

There is no conflict of interests

3) Answer each of the following questions "Yes" or "No"

Do your procedures expose your participants to any risk of :

Yes      No    Type of risk

      - deception ....

      - invasion of privacy .....

      - criminal or civil liability

      - damaging to the participant's financial standing, employability, or

reputation...

- stress, emotional distress or other form of psychological discomfort.....
- pain, fatigue, other form of physical discomfort, danger, physical harm or medical risk.....
- noxious stimulation/procedure.....
- re-identification during data extraction process or using a unique identifier, personal data...etc
- other risk(s) (please specify) : \_\_\_\_\_

4) If you have answered "Yes" to any of the above questions in Part B(3), please complete 4(a) to 4(e):

Estimate the degree of risk involved (e.g. to assess the level of psychological stress that will be induced, who will evaluate it or what psychological test/tool will be used to evaluate it)

- (a) Describe the steps/measures you will take to minimize the risk and to protect your participants from the risks.

- (b) How will you explain the risk to your participants?

- (c) How will you obtain their consent to take part in the research?

- (d) Describe how the participants will be debriefed after the study. What feedback of findings will be offered to participants, e.g. access to transcripts of interviews, drafts or final reports?

5) Are there any possible risks to the health or safety of the researcher(s) or the field staff when undertaking the research? If yes, please specify the potential risks and what precautions or measures to minimize the risks.

None

**6) Will you collect identifiable or personal information? (Corresponds to Question 9 of Form A)**

Yes       No

Is re-identification possible during data extraction process or using unique identifier?

Yes       No

If you answered "Yes" to the previous questions, please complete 6(a) to 6(e):

- (a) Describe the type of identifying data you will collect (e.g. name, ID card, email address...) and/or describe how likely the re-identification is possible.

The name and phone number of participants will be collected. Also, Since the research student has an informal relationship with some of the participants, and the data will be collected by the same research student, it is possible to re-identify the data from those research participants.

- (b) Will image, photography, video-recording or audio-recording be collected or used during the study? Please provide a sample of the Agreement of the Use of Photography, Audio/Video Recording. Please specify details.

Audio recording will be done during interviews with respondents.

- (c) How will you collect these identifying data, photography, video/audio-recording? What is the purpose for collecting these data? How will you use these data?

The audio-recording will be collected to aid text transcription. The voice record will be erased once the transcription is finished. Subsequent analysis will be based only on the transcribed text.

- (d) What procedures will you follow to make sure that your participants cannot be identified or re-identified?

Participants will be given pseudonyms and mention of personal details will be removed from the transcript before analysis.

- (e) What precautions will you take to ensure the security of the data, e.g. restricting access to authorized personnel, signed confidentiality pledge or undertaking by data users, data storage strategies, encryption, offline storage? Please provide details and justifications for photography, video or audio recording and storage strategies, if applicable.

To ensure the security of the data, I will maintain a restricted access to the data by ensuring that no third-party has access to them. The audio recordings are needed as they will aid in the verbatim transcription of data, which will further aid in the analysis of the research data.

- (f) How and when will you dispose of these identifiable/personal data? Please describe the arrangements for the disposal of electronic and physical records and the timing of such disposal.

If the study involves outsourcing or subcontracting activity, please describe the arrangements for the disposal of these identifiable/personal data by the service provider.

All personal data will be deleted immediately after the study is completed in April 2023.

**Important Note:** If sensitive or private information will also be collected, please check whether “invasion of privacy” in Question 3 is one of the risks.

7) Future use and sharing of research data / materials

Is there any possibility that the personal date / research data / materials collected in this project will be used in any future related or unrelated research by the applicant or shared with other researchers or made it available for use by the funders?

If yes, please describe what type of data will be used in the future, how the data will be used, how confidentiality be maintained, who will have access and how the participants' consent will be sought, will the raw data be anonymised?

No

8) Will the study involve human subjects/biological materials/data in the clinical or biomedical research studies? (Corresponds to Question 11 of Form A)

Yes       No

If yes, please complete the following questions and the attached Supplementary Information for Clinical or Biomedical Research Ethics (Appendix I).

(a) Does the research involve Human Subjects who are alive? How and where will the study and/or data collection be conducted? If human tissues or fluids will be collected, please indicate the exact amounts and frequency with which the samples will be taken.

Not applicable

(b) Will biological materials such as human tissues, microbial isolate and human genetic materials (DNA, RNA) be used? How will the data be collected or obtained?

Not applicable

(c) Will the biological materials be destroyed? When will these materials be destroyed?

If no, please provide reason and indicate where and how materials / data will be stored, how long the data will be stored, who can access the materials/data, permission has been given for the storage of the these materials.

Not applicable

(d) Will the biological materials be used for other related and/or unrelated research by the applicant and/or other researchers in the future? If yes, does the consent form inform the participants about this? Has the permission been given by the data owner?

Not applicable

(e) Will the biological materials be exported other site(s), locally or internationally? If yes, please explain the reasons and whether the local laws, permission and customs has been addressed.

Not applicable

(f) Is there any possibility for genetic research? Please explain what this is and any implications.

Not applicable

(g) Is clinical trial on human being required? Will any medicine / intervention be tested during the investigation? If yes, has approval for the certificate for clinical trial been obtained? If no, PI should undertake hereby to register the clinical trial certificate and provide the committee of the approval before the commencement of the project.

Not applicable

(h) Will any outcome of tests or research etc be communicated to the research subject(s) involved? In the event that any direct medical benefit for a particular research subject, will the researcher communicate to the research participant?

Not applicable

(i) Will any radioactive or biohazardous materials be used during the investigation? If yes, please provide detail of the materials.

Not applicable

(j) Does the project involve the use of diagnostic test results or medical records (e.g. those obtained by imaging or by laboratory testing)? How and where the data be collected or obtained? Is the data anonymous? Is re-identification possible?

Not applicable

(k) Please state the anticipated benefits or risks of the study.

Not applicable

9) Checklist of attachments:

1. Research proposal / plan / activities  Yes  N/A
2. Participant consent form (including assent form for the vulnerable subjects / minors).  
*(Note: It must be submitted unless no human subject/participant is involved.)*  
 Yes  N/A
3. Parental/Guardian Consent Form (ref. Part B(2)(d), if applicable)  Yes  N/A
4. Agreement of the Use of Photography, Audio/Video Recording (ref. Part B(6)(b), if applicable)  Yes  N/A
5. Signed Confidentiality Pledge by the Principal investigators (PI) and/or research team members and sample copy of the confidentiality pledge to be used for this project. Please refer to Annex 1 in the guidelines for the sample of the pledge.  Yes  N/A
6. Copy of ethics approval from other authorities or collaborating institutions (ref. Part B(2)(j) or (l)), if applicable  Yes  N/A
7. Supplementary Information (Appendix I) for Clinical or Biomedical Research Ethics (ref. Part B(8)), the template form (Appendix I) is enclosed in the following page.  Yes  N/A
8. Copy of clinical trial certificate, if applicable  Yes  N/A

## **Declaration**

I have read the guidelines on ethical review of human research and undertake to exercise reasonable care to ensure that the proposed research is conducted in a manner that is consistent with these standards of ethical practice.

I understand that failure to observe the University's published protocol may constitute malpractice and be a ground for disciplinary action by the University.

I undertake to adhere to the local laws, permission or customs for any research to be conducted in Hong Kong and/or outside Hong Kong.

I understand that no data collection or analysis can be started only after obtaining final approval from the respective authority.

I confirm that any service provider(s) involved with the project have in place appropriate policies which are compliant with the ethical requirements and standards of CityU. I undertake responsibility for ensuring compliance with the CityU's ethical requirement/standard during the project.



10 March 2021

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Signature  
(Principal Investigator/Supervisor)

---

Date

## **To be Completed by Head of Department / Line Manager**

I endorse this application on the basis of the information provided and the declaration of the PI/Supervisor.



10 MAR 2021

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Signature  
( Head, SS )

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Date

**Annex 1**  
**(SAMPLE)**

**Confidentiality Pledge**

Grant Type: PhD study

Project/Proposal No.: \_\_\_\_\_

Project/Proposal Title: Informal caregiving for older people in Nigeria

Principal Investigator/Supervisor: Dr. Marcus Chiu

---

Name: Chigozie D. Ezulike Staff/Student No: 55827762

Department: Social and Behavioural Sciences Organization: City University of Hong Kong

Capacity (PI/Co-I/Research Staff): Research student

**Confidentiality Pledge**

I understand that I am granted access to sensitive personal data / project data. To ensure that the information is used and handled by authorized personnel only, I hereby pledge that I shall use the data in accordance with the provisions of the Personal Data Privacy Ordinance and according to the policies, procedures and guidelines established by the University from time to time. I shall not disclose such information to any person except on a need-to-know basis. I will take all reasonable precautions within my control to prevent unauthorized access to such information.



Signature: \_\_\_\_\_ Date: March 09 2021

**To be completed by Principal Investigator / Supervisor:**

I endorse the right to access the sensitive data of the project.



10 March 2021

Principal Investigator / Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

## **Informal Caregiving for Older People in Nigeria**

### **Background**

Caregiving involves caring for an individual or a loved one in the caregiver's home, the care-recipient's home or in an institutional setting (Greenlee & Scharlach, 2001). This act may include attending to an individual's emotional wellbeing or physical health need. According to Greenlee and Scharlach, caregiving may involve providing long-term care for an individual with a chronic illness or may be intermittent and sporadic when the care is provided for an individual with acute illness or in an acute episode of a chronic illness. Generally, caregiving can be formal or informal. Formal caregiving is defined as the paid care services individuals or healthcare institutions provide to persons in need while informal caregiving is the unpaid care provision by family, friends, close relatives, and neighbours (Li & Song, 2019). Research in different parts of the world reveals that informal caregiving constitutes a significant proportion of the health and social care sector (Elmore, 2014). However, because such care provision is mainly unpaid, the monetary value is sometimes difficult to ascertain (Penning & Wu, 2015). Although there are settings where a caregiver allowance from the government subsidises the care provided by family members; nevertheless, the actual cost of the entire care provision may never be indeed ascertained. Hence, such caregiver-allowances may only be viewed as an attempt to support or encourage the recipients to continue the care provision to older family members.

Existing empirical evidence on the impact of caregiving on the carer's health, mental and social wellbeing is mixed. For instance, while some studies find that caregivers derive positive outcomes as feeling of fulfilment, feeling of closeness & a strengthened family solidarity (Colantonio & Vernich, 2002; Litwin, Stoeckel & Roll, 2014; Lee, 2020), majority of other studies find it to have negative impacts on the caregivers including physical illness, depression, loss of freedom, limit in engagement in paid employment, among others (Wakabayashi & Donato, 2005; Elmore, 2014; Bauer & Sousa-Poza, 2015). Although these findings differ across countries and cultures, caregivers in individualist cultures and societies are observed to report more negative impacts compared to caregivers from communalistic/collectivist societies that report a more positive impact of caregiving (Triandis, 1989; Pharr, Francis, Terry, & Clark, 2014). Most studies reporting the adverse effects of caregiving were focused on the developed regions of the world, with little empirical evidence from the developing countries as seen in Nigeria.

Investigating the lived experiences of caregivers in Nigeria is timely, due to the complex milieu within which caregiving is provided. Despite the low old age dependency ratio in Nigeria, care and support provision from family members to ageing relatives in recent years has been challenging due to the current adverse economic situation in the country. As the cultural values of traditional African communities ascribes the younger kin (from both the immediate and extended family of the older adult) the responsibility of care provision, the government's role in aged care is non-existent in Nigeria. Although the availability of social support to caregivers is shown in literature to improve the caregiving experiences (including coping and resilience) of caregivers, there exist limitations for Nigerian caregivers, because there are restrictions to the kinds of support they seem to accept. Yet, family members continue to assume the caregiving role amid the declining economic situation and the absence of formal support from the state. Much of the existing family caregiving literature in Nigeria have focused on specific areas or conditions affecting older adults and their caregivers. Consequently, no holistic, in-depth policy stimulating discussion has been provided, as much is left to be known about how these family caregivers construe their current status and relationship based on their lived experiences.

It is important to study the lived experiences of caregivers in the local Nigerian context for some reasons. Firstly, it will help to reveal the life world of family caregivers, to know how they see themselves, their care recipients and their dyadic relationship. Secondly, it will facilitate the development and implementation of caregiver-interventions in Nigeria. It is necessary to also explore the views of a few care recipients to see if their accounts vary from that of their caregivers. All of these are imperative because the symbolic interactionist role theory proposes that individuals (family caregivers and aged care recipients) interact with a phenomenon (in this case, the caregiving relationship) based on the meanings they attribute to such phenomenon, and that the meanings of such social phenomenon is interpreted by individuals when dealing with that phenomenon in specific circumstances (the current cultural and economic climate in Nigeria). Using an interpretive phenomenological design, this study aims to investigate the lived experience of family caregivers in Nigeria.

**Key research question:** How do family caregivers construe their caregiving experiences in Nigeria?

#### The proposed theoretical framework

Four caregiving theories will be used to guide this study. They are the Social Exchange Theory (SET), the Symbolic Interactionist Role Theory (SIRT), the Sociocultural Stress and Coping

Model (SSCM), and the Afrocentric paradigm. To better investigate the caregiving perception and lived experiences of family caregivers in Nigeria, the Afrocentric paradigm will serve as the central theory to show the cultural context of care provision and care reception. Firstly, the idea of the Afrocentric theory that human identity is a collective identity, and that members seek the good and wellbeing of others -altruism (Sherr, 2006; Waites, 2009), will guide the data collection and analysis to help understand the experiences of the caregivers. A criticism of this theoretical paradigm is its failure to explain care provision when one's altruistic Afrocentric value is weakened. Hence, this aspect will be considered in the theoretical framework and investigated in the study to know what factors motivate the engagement in care provision.

Next, the SIRT will help in the investigation of the interaction between the partners in the caregiving relationship. The theory makes proposition on how social actors play roles and the ways in which these role-playing affects everyone. It also explains that norms are developed through the interaction of social actors in a relationship. Hence, this theory may also enhance the investigation of the caregiver-care recipient interaction, to understand how these roles are played especially within the traditional African cultural values as prescribed by the theory of Afrocentricity. It will also help in the understanding of how the dyadic relationships have metamorphosed over time based on the performance of prescribed roles. Despite the provisions of the SIRT, an aspect it neglected is its little attention to the expectations of social actors from a relationship considering their background in the African culture. Hence, this framework and research will incorporate the investigation of the social actors' expectation from the caregiving relationship.

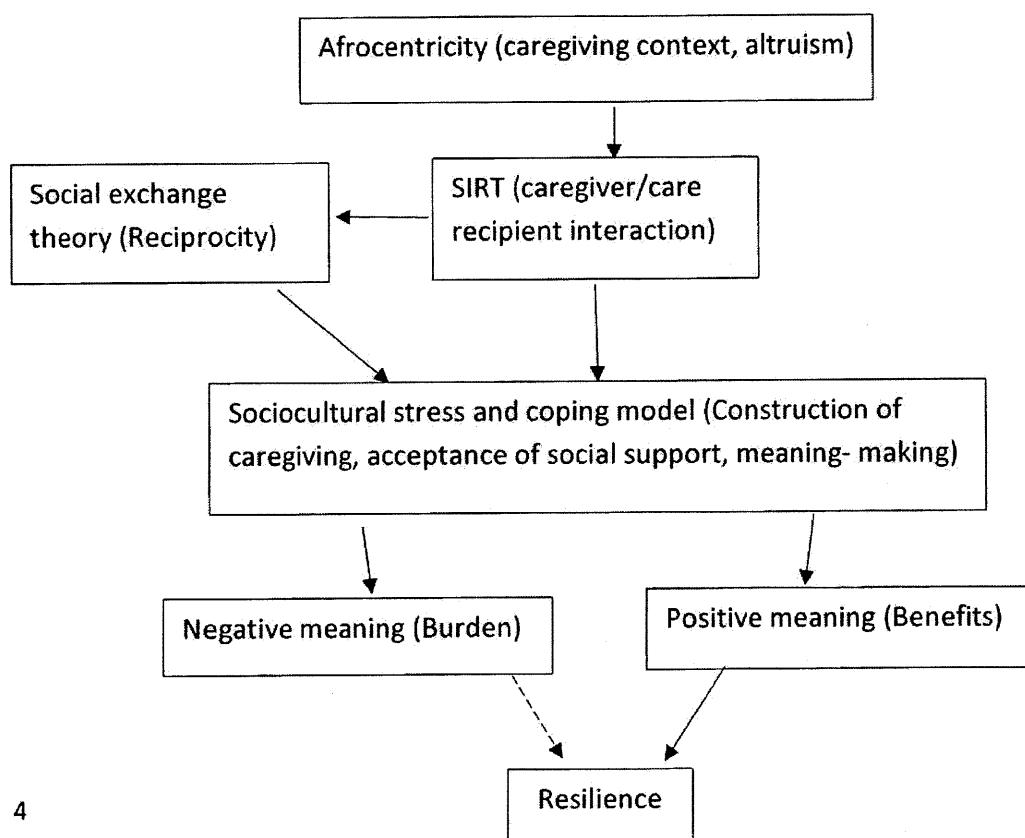
Further, the social exchange theory (specifically, the rule of reciprocity) will foster the examination of the extent to which caregiving is guided by the principle of reciprocity in the population of study. This will help one to know whether this principle is, or whether it is not disrupted or eroded in Nigeria given the influence of the African cultural values. However, the SET reciprocity principle neglects the fact that other factors could motivate one's assumption of the caring role. Therefore, this would also be investigated in this study.

Finally, the SSCM will guide the exploration of how caregivers see the caring role and the caregiving relationship. The model proposes that: caregivers' cultural background influences their perception of their caregiving role, and this has implications on their physical and mental health; family caregivers coming from a culture emphasising family obligation, may be better able to cope with family caregiving experience and have a more favourable physical and mental

health outcome; and that cultural values significantly influences mediator variables of caregiver stress such as the use of social support or coping mechanisms by family caregivers. These propositions will guide the researcher in investigating the caregivers' construction of their caregiving experiences, the support available to them within their social network, and the kinds of external support which they and their care recipients deem culturally appropriate. With the SSCM criticised for its neglect of how the caregiver's relationship to the care recipient (e.g., spouse or adult child) influences the caregiving experience, this study will consider this aspect in the data collection to provide a robust knowledge of the dynamics within the caregiving dyad.

Other important concepts to be investigated in this study includes meaning-making, resilience, and burden. Meaning-making in caregiving is an essential part of the SSCM. From the reviewed literature, it could be deduced that family caregivers could either construe a positive meaning or a negative meaning from their caregiving relationship. When a negative meaning is construed, it implies adverse caregiving experiences generally referred to in the literature as *burden*. On the other hand, a positive construed meaning implies caregiving benefits. Resilience, the ability to manage and adapt to significant sources of stress, thus strongly results from a positive meaning-making as observed in the reviewed literature. The theoretical framework for this study is shown in figure 1.

Figure 1: Proposed theoretical framework



From the figure above, the framework shows that care provision and care reception is done within the Afrocentric cultural context. The Afrocentric culture is collectivist with altruism as an essential value. The symbolic interactionist role theory would then show how caregivers and care recipients interact and play their roles in the relationship. While the dyad play their roles, the social exchange theory principle of reciprocity (in addition to other factors that would be explored in the study) could be investigated to know what motivates caregivers into assuming the caregiving role. On identifying the motivating factors, the sociocultural stress and coping model would then help in the probe of caregivers' and care recipients' construction of their relationship. Meaning-making, an important concept in this study, is a main proposition of the SSCM. If caregivers make meaning of their caring relationship based on the Afrocentric culture, the reviewed literature suggests that it encourages resilience in the caregivers. However, when caregivers appraise their caring relationship to be burdensome, the framework proposes that the caregivers may find a means to cope, and then become resilient again. However, the relationship between burden and resilience is proposed by the framework to be weak. Although this theoretical framework will guide the study, including the research questions, interview questions and data analysis process, the researcher does not claim that the framework is all-sufficient to fully describe the lived experiences of family caregivers in Nigeria. Hence, by the end of the study, it is likely that the framework would change and become improved, to show caregivers' understanding of their experiences as well as the care recipients' side of the story.

## Methodology

### *Research design*

The phenomenological research design will serve as the design for this study. A phenomenological research according to Creswell & Poth (2018) describes the common meaning several individuals hold of their lived experiences as regards a phenomenon or a concept. Specifically, this study will adopt the hermeneutic approach in phenomenology described by van Manen (1997). This is because the chosen approach would help the researcher to understand the phenomenon under study by reflecting on the lived experience of the study participants based on their prevailing cultural and social contexts. In conducting a phenomenological study, researchers are interested in assessing rich details of the way individuals make meanings out of specific experiences by intentionally focusing on those aspects of the individuals' lived experiences that are often unobserved in their lives (Finlay, 2011). In this study, the researcher's interest is to describe the caregiving experience of family caregivers of old people in the Nigerian context.

### *Research setting*

The study will be conducted in Imo State, southeast Nigeria. Based on the last Nigerian population census in 2006, the state had a total population of 3,927,563 people comprising of 1,976,471 males and 1,951,092 females (Federal Republic of Nigeria, 2010). Older adults aged 65 years and older constitute 4.3% (170, 069) of the total population (Nigeria Data Portal, no date). However, there is no information on the distribution of this older-adult population by sex. Specifically, this study will be carried out in Owerri, the capital city of Imo State. In 2006, the census record of the city's population was 403,425 (197,944 males and 205,481 females). But with an average annual population growth rate of 4.05%, the city's population in 2020 is estimated to be 872,604 people (World Population Review, 2020). As there is no population record of caregivers in Imo State and Nigeria in general, the available record on older adults will help in the selection of caregivers for the study. The choice of Owerri is because it is indigenous to the researcher and it is the heartland of the east of the Niger. It is also common to find indigenes of other eastern states residing in this city. Therefore, whatever views that will be expressed by the research participants will be to some extent, representative of other eastern states, given that the study will focus on the Igbo ethnic group. The choice of the Igbo ethnic group is because much of the available studies on aged care in Nigeria have concentrated on other geopolitical zones in Nigeria.

### *Sampling*

A total of 40 participants (30 caregivers and 10 care recipients) will be recruited because it would be sufficient and would enhance data saturation. Participants for the study will be recruited through purposeful sampling as this method of sampling aims for the identification of participants who share the same experience of a specific phenomenon of study (Patton, 2015). Specifically, a criterion-based and maximum variation type of purposive sampling will be employed in the recruitment of study participants. The criterion-based sampling will help to ensure that only qualified respondents are recruited. Since there is no form of record on caregivers in Nigeria, the participants for the study will be recruited based on the existing data of older persons in the state. The research participants will be recruited based on the criteria that they are (a) older adults aged 65 years and older (b) dependent on family members for all forms of assistance (c) their primary caregiver is at least 18 years old (d) the caregiver is related to the older adult by blood or marriage e.g. spouses, adult children, grandchildren, siblings, nieces, nephews, and in-laws, or the caregiver has a significant relationship with the care recipient (e.g. the caregiver is a family friend of the older adult).

This approach to purposive sampling will be applied simultaneously with the maximum variation approach. To achieve maximum variation, measures will be taken to ensure a balance. The researcher will try to ensure that equal number of male and female caregivers and care recipients are represented in the study. The socio-economic status of respondents will also be considered. The researcher will try to recruit care recipients whose caregivers: have high level of education, low level of education, are employed, are unemployed, high level of income, have low level of income, are married, and caregivers that are single. Participants of various socio-economic statuses will be recruited through the maximum variation approach to enable the researcher to ensure that the perception of a wide variety of family caregivers and their care recipients are represented in the study as this is ideal in qualitative research (Creswell & Poth, 2018). Respondents will be recruited from worship centres, geriatric units of hospitals, and from town hall meetings.

#### *Method and tools for data collection*

Data will be collected qualitatively from caregivers and care recipients, through in-depth telephone and/or face-to-face semi-structured interviews per participant. The interviews will be conducted in whichever language the respondents feel more comfortable to speak (either English or Igbo). The tools for data collection will be a topic guide which helps the researcher keep track of questions for the study, and an audio recorder to aid data transcription. Open-ended questions will be asked to enable open-ended answers from respondents. Bradburn, Sudman, & Wansink (2004) observed that open-ended questions are useful in exploring a topic in depth. The interview guide will be in two versions- one in Igbo and the other in English. The researcher will translate the interview guide from English to Igbo, to aid data collection from participants who prefer to communicate in Igbo. The service of an academic from the Department of Linguistics and Igbo, Imo State University (IMSU) will be employed to also translate the interview guide. Afterwards, the researcher's version and that of the paid academic would be compared and appropriate adjustments would be made where necessary. Next, all interviews will be transcribed verbatim (in English and in Igbo). The interviews conducted in Igbo language will be translated to English by the researcher and the paid academic separately, using the parallel transcription framework described by Nikander (2008). Afterwards, the transcriptions from both parties will be compared for validity.

#### *Data analysis*

The data analysis will be done concurrently with data collection. Three techniques as described by van Manen (1997) will guide the data analysis. The first is the wholistic approach which

entails reading each transcript to understand their overall meaning. The second is the selective approach which allows for the identification of meaningful parts of the transcript texts. The third is the line-by-line approach which would enable the systematic questioning of the data about the respondents' experiences and perceptions on their caregiving and care reception relationships. The interview transcripts will be coded using Nvivo 12 software and grouped in themes and sub-themes at higher levels of interpretation which would evolve throughout the analysis. The themes will be developed collaboratively with the researcher's academic supervisor. The data will be analysed in an iterative process. It would identify and question connections with Heidegger's hermeneutic philosophy.

Timeline for the research

Feb.-April 2021	Application for ethical approval
May 2021	<ul style="list-style-type: none"> <li>-Preparation for data collection.</li> <li>-Trip to Nigeria.</li> <li>-Design and print flier and poster advertisement for the study.</li> <li>-Bulk-purchase of souvenirs to be given to participants as compensation for expenses and time spent in the study.</li> </ul>
June-November 2021	<ul style="list-style-type: none"> <li>-Commence advertisement of the study and making contacts with gatekeepers for the recruitment of participants.</li> <li>-Conduct interviews with participants</li> <li>-Transcription of interviews</li> </ul>
Jan.-June 2022	<ul style="list-style-type: none"> <li>-Data analysis</li> </ul>
July-November 2022	<ul style="list-style-type: none"> <li>-Update literature review</li> <li>-Write results and discussion chapters of the dissertation</li> </ul>
Jan.-April 2023	<ul style="list-style-type: none"> <li>-Write conclusion</li> <li>-Round-up work on the dissertation</li> <li>-Prepare manuscript for submission to a journal</li> </ul>

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## APPENDIX

### Interview schedule for family caregivers

#### Potential Interview Questions:

1. Describe what the typical life of a caregiver of an older adult should be like in Nigeria.
2. Can you describe your life currently as a family caregiver?
3. What about older adults? What should an old person's live situation ideally look like if all cultural norms were to be in full play?
4. Seeing a lot of older persons in Nigeria today, what would you say about them in terms of how they are being cared for?
5. How long have you been a caregiver to your care recipient?
6. How is your current relationship with him/her (the care recipient)?
7. Were you compelled to become his/her caregiver, or it was your volition?
8. What motivated you into assuming the role of his/her primary caregiver? (probe for reciprocity, altruism).
9. What are the things you usually do for him/her as their caregiver?
10. Do you usually have "obi ojoo" (bad heart) while caring for him/her? If Yes or No, then why?  
(Probe for the influence of culture as described by the sociocultural stress and coping model)
11. What are the challenges you encounter while caring for him/her?
12. What areas of your life do you think is adversely affected as a result of your role as caregiver?
13. How have you been coping with the situation.
14. Under what circumstances do you think you'll provide better care or support to him/her?
15. Has there been any benefits you derive from your role as a caregiver to your care recipient?  
(If yes, mention them).
16. What else keeps you on the go or makes you resilient in your journey of caregiving?

17. Do you get any kind of support for your caring role from within and outside your network?  
(Probe for support from immediate and extended family, the community, and friends). If yes, what kind of support?
18. Generally, what kinds of assistance do you consider culturally unacceptable for your caregiving role?
19. Given the economic situation of our country and our Igbo culture that caring for aged family members is the responsibility of adult children, do you think the government has any role to play in your caring role? Please give reasons for your answer.

Potential questions for care recipients

1. How would you describe the ideal life of an older-adult care recipient in Nigeria based on our cultural provisions?
2. What about family caregivers? On a normal circumstance, what should their lives and role look like in Nigeria?
3. How long have you been receiving care from your caregiver?
4. How is your current life situation as a care recipient?
5. As a care recipient, how do you perceive yourself? (probe for feelings of entitlement to receive care, submissiveness, etc).
6. How do you perceive the care you receive from him/her (the caregiver)?
7. How would you rate his/her caregiving performance?
8. Do you think the caregiver is stressed or burdened as a result of caring for you?
9. Do you expect that there should be areas in your relationship where your caregiver gets some benefits? If yes, what are those areas?
10. Are there any areas you think needs improvement in the care you receive? If yes, what are they?

11. Are there any ways you think you can contribute to making the care you receive a good one?  
If yes, please mention them.
12. How would you describe your relationship with your caregiver? (probe for communication and other aspects).
13. In your view, what motivated your caregiver into the care-provision role? (Probe for reciprocity, altruism, and other reasons).
14. In what ways do you think your caregiver needs to improve in the care s/he provides to you?
15. Do you usually receive support from your immediate and extended family, and friends within the community?
16. I know that in our culture, caring for elderly persons is the primary responsibility of adult children in the family. But looking at the current situation of things in our country, do you think that the government needs to get involved?
17. In a normal situation, what kinds of support would you accept and what kind are you likely not to accept from people including the government?

## INFORMATION SHEET FOR RESEARCH PARTICIPANTS

### Project title

Informal caregiving for older people in Nigeria

### Invitation to participate

You are requested to partake in a study on the lived experiences of family caregivers of older adults in Nigeria.

### What will happen

Caregiver: You will be asked some questions about your experience of care provision to an elderly care recipient.

Older-adult- care recipient: You will be asked some questions about your caregiver and your experience of care reception from him/her.

The interview session will be audio-recorded to enable effective documentation of research data.

### Time commitment

The interview session will last for a maximum of 60 minutes. One or two sessions of interviews may be required.

### Rights of participants

You may decide to quit from the study at any point in time, and that will not affect your right to any services. You also have the right to request for the withdrawal or destruction of any data you have provided to that point.

### Confidentiality and anonymity

All identifiable data about you will be kept safe by the researcher. Access to such data by any third party will be denied. Such personal data as the audio recording of the interview will be destroyed at the end of the entire study in April 2023. No identifiable information about you will be contained in the research results. Your name taken, is only needed for interview arrangement, while your voice record is essential to facilitate data transcription (the conversion

of voice recordings to written texts) which is used for the research.

Risks and benefits

There are no known risks or benefits for you in this research.

Compensation for participation

You will receive a souvenir as my expression of gratitude for your participation in this study.

Who is the researcher?

I am Chigozie Juliet Ezulike, a current PhD student at the City University of Hong Kong under the supervision of Dr. Marcus Chiu. I am from Imo State, Nigeria.

Any further information

I and my supervisor will be glad to answer the questions you may have about this study at any time. You may contact me through email ([cdezulike2-c@my.cityu.edu.hk](mailto:cdezulike2-c@my.cityu.edu.hk)) or mobile (+2348103666096).

## INFORMED CONSENT FORM

**Study title**

Informal caregiving for older people in Nigeria.

**Study summary**

By signing below, you agree that:

- a. you have read and understood the information on the participant information sheet;
- b. you are aware of the potential risks involved in the study;
- c. your participation in the study is voluntary and without any form of coercion;
- d. you understand and accept the confidential treatment of any identifying information provided.

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Participant's name

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Date

---

Signature

---

Researcher's name

---

Date

---

Signature

### **Agreement on Use of Voice Recording**

This is to confirm that I agree to have my voice recorded by Chigozie (the researcher) for the research entitled “Informal caregiving for older people in Nigeria”. I also agree that all rights in such recorded sound will be the shared property of the researcher and myself. I hereby give my consent to the researcher to use my voice for their academic and non-commercial purposes and should be limited to the period of the academic research, after which the researcher will have it deleted. Without my written permission, however, the researcher cannot let others use my name, my likeness and my voice in projects and products that are not their own. The researcher should not give my name, address, and other personal information to the third party without my written or signed permission.

If you have any questions or concerns about this study or agreement, please feel free to contact the researcher “Chigozie Ezulike” at cdezulike2-c@my.cityu.edu.hk

Date

Signature

Printed name

Telephone No.