TON DUC THANG UNIVERSITY

REQUEST FOR INSTITUTIONAL RESEARCH-ETHICS DETERMINATION

Date received	03-October-2026
Date of determination	06-October-2026
Purpose	Current institutional determination requested for journal documentation

A. Study information

Study title	Making green finance actionable: overall enablement and domain configuration in household green-technology adoption
Corresponding researcher	Tran Vu Dang Le
Affiliation	Faculty of Accounting, Ton Duc Thang University
Co-author	Quy Hao Nghiem – Finance and Banking Faculty, Ton Duc Thang University
Study location	Vietnam
Data-collection period	Late May through June 2026
Participants	Adult household decision-makers; final analytical sample: 2,529
Study type	Voluntary, non-interventional, non-health-related social-science questionnaire survey

B. Request and researcher declaration

The researcher requests a current institutional determination of the applicable ethics-review requirement for the above study. This request does not ask TDTU to backdate or retrospectively create prior ethical approval. It asks the authorized institutional body to state, based on the submitted materials and applicable TDTU rules, whether formal ethical review was required and/or whether the study qualifies for exemption or non-review.

☐ Participation was voluntary and restricted to adults.

☐ Informed consent was obtained before respondents proceeded with the questionnaire.

☐ The study involved no clinical intervention, biomedical procedure, biological specimen, or collection of health/medical data.

☐ The analysis-ready dataset was de-identified and no directly identifying participant information is reported.

☐ The research was conducted as a social-science survey concerning household finance and green-technology adoption.

☐ No formal ethics approval or institutional exemption determination had been obtained before data collection.

C. Regulatory and ethical materials supplied for review

1. Vietnam Ministry of Health Circular No. 43/2024/TT-BYT (12 December 2024), Article 1 (Scope of regulation). Article 1 states that the Circular regulates the establishment, organization, and operation of national- and institutional-level ethics committees in biomedical research. Official National Database of Legal Documents: https://vbpl.vn/TW/Pages/vbpq-print.aspx?ItemID=172919

Important scope note: Circular No. 43/2024/TT-BYT is supplied as evidence of the scope of the Vietnamese Ministry of Health biomedical-research ethics framework. The Circular itself does not expressly state that all non-biomedical social-science surveys are exempt from institutional research-ethics review.

2. Ethical principles for human-participant research. The study materials may be assessed against the Belmont Report principles (respect for persons, beneficence, and justice) and any applicable TDTU institutional research-ethics rules. Belmont Report: https://www.hhs.gov/ohrp/regulations-and-policy/belmont-report/read-the-belmont-report/index.html

3. Applicable TDTU policy / regulation / decision: to be identified and cited by the authorized reviewing body, including clause/article and link where available:

_____

D. Materials submitted

☒ Study manuscript / protocol or study summary

☒ Questionnaire / survey instrument

☒ Participant information and consent wording, if available

☒ Data-handling / de-identification description

☒ Journal request for ethics clarification

☐ Other supporting material: _____

Researcher signature: Đặng Lê Trần Uu **Date:** 06/10/2026

TON DUC THANG UNIVERSITY

WORDING FOR INSTITUTIONAL DETERMINATION

To whom it may concern,

Re: Making green finance actionable: overall enablement and domain configuration in household green-technology adoption

The authorized research-ethics body of Ton Duc Thang University reviewed the materials submitted for the above study for the limited purpose of determining the applicable institutional ethics-review requirement and regulatory scope. This review occurred after data collection and does not constitute backdated or retrospective prior approval.

According to the materials submitted, the study was a voluntary, non-interventional questionnaire survey of adult household decision-makers in Vietnam concerning household finance and green-technology adoption. The materials report that informed consent was obtained before participation, no clinical or biomedical procedures or biological specimens were involved, no health/medical data were collected, and the analysis-ready dataset was de-identified.

Vietnam Ministry of Health Circular No. 43/2024/TT-BYT, Article 1, concerns the establishment, organization, and operation of ethics committees in biomedical research. The Circular is cited here only for that stated scope; it is not relied upon as a stand-alone general exemption for non-biomedical social-science research.

Institutional determination – complete only the statement(s) the authorized TDTU body can substantiate:

☒ Based on the materials reviewed and the applicable TDTU policy/regulation identified below, formal institutional ethics-committee review was not required for this study.

☐ The study qualifies for exemption / non-review under the following TDTU policy, regulation, or institutional decision: _____. Clause/article/reference: _____. Direct link (if publicly available): _____.

☐ The study falls outside the biomedical-research ethics framework described in Circular No. 43/2024/TT-BYT because the study is non-health-related social-science research. This statement addresses the scope of that Circular only and does not, by itself, establish a general exemption from all institutional research-ethics requirements.

☐ Based on the materials reviewed, the study procedures described are consistent with the following named ethical guideline(s) and applicable institutional requirements: _____.

☐ The study requires further institutional ethics review; no exemption / non-review determination is granted at this stage.

☐ Other determination: _____.

Suggested journal-facing sentence if TDTU grants exemption/non-review:

The Department for Management of Science & Technology Development (DEMASTED) reviewed the study materials and determined that formal ethics-committee review was not required / that the study qualified for

exemption under TDTU policy, reference number 3096/QĐ-TDTU issued on August 29, 2025. All research procedures were performed in accordance with QĐ 3096, and informed consent was obtained from all adult participants."

Authorized by:

Full name	Assoc. Prof. Dr. Le Duc Hien
Official title / role	Head Department
Authorized TDTU body	Department for Management of Science & Technology Development
Signature	

Submission/contact route for institutional handling (verify with TDTU): Department for Management of Science & Technology Development (DEMASTED), Room A0903, 19 Nguyen Huu Tho Street, Tan Hung Ward, Ho Chi Minh City, Vietnam; Tel. (028) 377 55 037; Email: demasted@tdtu.edu.vn.