**Ethics & Governance Application (EGA) Form (Human Research)**

Please first complete a self-assessment for governance and ethics (SAGE). This form should be completed if your SAGE has directed you to submit an ethics and governance application.

It should be used by staff, PhD/ EngD students, PGT (MSc, PsychD) and all undergraduates.

Further information on how the data you provide in your application to the UEC is used can be found in our [privacy notice](https://surreynet.surrey.ac.uk/sites/default/files/2018-12/PRIVACY_NOTICE_ETHICS.pdf).

Completed forms should be submitted to your faculty ethics mailbox.

FASS: [fassethics@surrey.ac.uk](mailto:fassethics@surrey.ac.uk)

FHMS: [fhmsethics@surrey.ac.uk](mailto:fhmsethics@surrey.ac.uk)

FEPS: [feps-ethics@surrey.ac.uk](mailto:feps-ethics@surrey.ac.uk)

If you are not based in a University Faculty (e.g. you belong to a Professional Service department), please submit your documentation to: [ethics@surrey.ac.uk](mailto:ethics@surrey.ac.uk)

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| **Section A Project Details** | | | Guidance |
| Project title Click here to enter text.  Lay title Click here to enter text. | | |  |
| 1 | **Name** **of applicant**:  Click here to enter text.  **University of Surrey email address**:  Click here to enter text. | |  |
| 2 | **Name** **of student, or lead investigator (if not the applicant)**:  Click here to enter text.  **University of Surrey email address**:  Click here to enter text. | |  |
| 3 | **If you are a student**, provide your supervisor’s name:  Click here to enter text.  Provide your supervisor’s University of Surrey email address:  Click here to enter text. | |  |
| 4 | **Level of research**  Staff  PhD/EngD  Masters/PsychD  Undergraduate  Visitor | **School/ Dept.**  Click here to enter text.  **Faculty**  Click here to enter text. |  |
| 5 | **Proposed start date for**  (a) recruitment: Click here to enter a date.  (b) data collection: Click here to enter a date.  **Planned end date for**  (c) recruitment: Click here to enter a date.  (d) data collection: Click here to enter a date. | |  |
| 6 | Please provide a **lay summary** of the project.  Click here to enter text. | | Approximately **500 words**.  This must not be taken from your protocol and should be in lay terms. |
| 7 | a) Is this project a collaboration with an external body?  If Yes, name the collaborator(s) below: | Yes  No | Ensure you have contacted the [RIS legal contracts team](mailto:v.keywood@surrey.ac.uk?subject=Query%20about%20collaboration%20agreement%20requirements) to confirm formal agreement requirements. |
|  |  |
| b) Please confirm that you have contacted the Research and Innovation Services (RIS) legal contracts team to formalise the collaboration. | Yes  No |
| 8 | Is this research funded or is a funding bid being submitted?  If Yes, please provide details of funding body, and cost code (if already funded):  Click here to enter text. | Yes  No | Most UG and PGT student projects will be classed as unfunded as they are part of an educational qualification.  Self-funded PGR students are also classed as unfunded. |
| 9 | a) Do you have any Conflicts of Interest in relation to this research?  If Yes, please describe below:  Click here to enter text. | Yes  No | Guidance on declaring Conflicts of Interest can be found under [Ethical conduct](https://surreynet.surrey.ac.uk/ethical-conduct) on the Secretariat and Legal pages on SurreyNet. |
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| b) Have you declared this to Secretariat and Legal? | Yes  No  NA |

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| **Section B Governance Issues** | | | | | |
| **Data Protection** | | | | | |
| 10 | **For UG and PGT students** (Master and PsychD): if you are **ONLY** using personal data for recruitment purposes, will you adhere to the security requirements set out in the ‘Data Protection and Security for Undergraduate and Postgraduate Taught Students Projects’.  If yes, you will not need to submit a Data Management Plan. Proceed to question 14. | | Yes  No | The ‘Data Protection and Security for Undergraduate and Postgraduate Taught Students Projects’ can be found on the [MySurrey Hive ethics webpage](https://study.surrey.ac.uk/ethics), or the [RIGO webpage](https://www.surrey.ac.uk/research/excellence/ethics) . |
| 11 | Will you be collecting/using participants’ personal information during the project?  If yes, please append your data management plan with this submission.  Is the University of Surrey acting as Data Controller for your study?  If no, state who is the Data Controller  Click here to enter text. | | Yes  No  Yes  No | If yes, you will need to submit a [Data Management Plan](https://www.surrey.ac.uk/library/open-research/data-management) Advice is available from the [library](mailto:openresearch@surrey.ac.uk?subject=Data%20Management%20Plan%20advice).  For UG and PGT students, the data controller will most likely be the University. You must adhere to the security requirements set out in the ‘Data Protection and Security for Undergraduate and Postgraduate Taught Students’.  If you do not know who the data controller is, please contact the [information compliance unit](mailto:dataprotection@surrey.ac.uk?subject=Who%20is%20the%20data%20controller%20for%20my%20project?) or the [RIGO team](mailto:rigo@surrey.ac.uk?subject=Who%20is%20the%20data%20controller%20for%20my%20research%20project?).  Your data sharing agreement or contract should identify the Data Controller. Please contact [Data Protection](mailto:dataprotection@surrey.ac.uk)) and the [RIS Legal Contracts team](mailto:v.keywood@surrey.ac.uk)  . |
| 12 | a) Will you be sharing identifiable data outside of the research team at the University of Surrey?  b) Will you be using a third party to recruit potential participants?  If yes, can you provide details below:  c) Will you be obtaining potential participant contact details from a publicly accessible source?  If yes, make sure that this is clear in your recruitment material. | | Yes  No  Yes  No  Yes  No |
|  | **Data Controllers** determine the purposes and means of processing personal data. In some cases, the University may act as Data Processor i.e. processing personal data on behalf of funder or collaborator who is acting as Data Controller. | | |  |
| 13 | On completion of your project, do you intend to retain personal information for future research purposes?  If yes, please ensure details of storage and access are included in your study protocol and participant information sheet. | | Yes  No |  |
| 14 | I confirm that I will retain research data in line with the University of Surrey’s [Data Protection Policy](https://www.surrey.ac.uk/sites/default/files/2018-08/data-protection-policy-2018.pdf), the [open research policy](https://www.surrey.ac.uk/sites/default/files/2019-03/open-research-policy.pdf) and the [Code on Good Research Practice](https://www.surrey.ac.uk/sites/default/files/Code%20on%20Good%20Research%20Practice.pdf). | |  |  |
| **Human Tissue** | | | | | |
| 15 | Does your research involve:  (a) the use of any type of human tissue?  If yes, please append your completed human tissue governance application form with your ethics submission. This should be completed regardless of whether your samples will be held under a Human Tissue Authority licence. | | Yes  No | Please contact [RIGO](mailto:rigo@surrey.ac.uk) if you require a human tissue governance application form.  On receipt of this form, RIGO will contact the applicant to arrange training where necessary. |
| **Clinical Research** | | | | | |
| 16 | Please use the definitions below to select your research type.  If you select ‘**Research**’, **proceed to question 17**. | | Research  Clinical Research | Please contact [RIGO](mailto:rigo@surrey.ac.uk) if you require help.  If you have indicated clinical research, RIGO will contact you, if it is considered an IRAS submission is required. |
| 17 | For clinical research, provide the name of the Sponsor  Click here to enter text. | | |
| If you entered the University of Surrey as the Sponsor, have you contacted [RIGO](mailto:rigo@surrey.ac.uk)?  If not, you must contact [RIGO](mailto:rigo@surrey.ac.uk), who will confirm whether the University can act as Sponsor.  If you have entered an external Sponsor, you will need to provide a copy of their insurance certificate. | | Yes ☐ No ☐  Not applicable (external sponsor) ☐ |
|  | **Clinical Research** is a research project based on humans and designed to answer questions about human physiology and/or health and/or disease and/or psychological conditions or behaviours. It also includes studies which require access to data on health or lifestyle without involving face-to-face contact with any people. Information may be obtained by telephone, postal questionnaires/surveys or electronic/manual data retrieval. It also includes technology development for clinical use and human tissue samples.  **Research** is all other research that falls outside Clinical Research. | | |  |
| **Risk Assessment and Insurance**  (Risk assessment may be included as a section in your study protocol or submitted as a separate risk assessment form) | | | | | |
| 18 | Will you be working alone when conducting face-to-face recruitment or when interacting with participants (i.e. lone working)?  If yes, please confirm you have read, and will be compliant with the university’s [Hazardous working policy.](https://www.surrey.ac.uk/about/policies) | | Yes  No  ☐ | Please ensure your Risk Assessment demonstrates how risks to researcher/ participants will be mitigated. |
| 19 | Will you be travelling abroad to conduct your research?  If yes, please confirm you have read, and will be compliant with the university’s [travel and expenses policy.](https://www.surrey.ac.uk/about/policies) | | Yes  No  ☐ | Please ensure your Risk Assessment demonstrates how risks to researcher/ participants will be mitigated and that your study protocol clearly details the location and the activities that you will be conducting abroad. |
| 20 | Will any persons be involved in conducting any research activities abroad as part of your study?  If yes, please confirm you have read, and are compliant with the university’s [Global Challenge Research Fund (GCRF) and Overseas Organizations Due Diligence Policy](https://www.surrey.ac.uk/about/policies) | | Yes  No  ☐ | Please ensure your Risk Assessment demonstrates how risks to researcher/ participants will be mitigated and that your study protocol clearly states the roles and responsibilities of all persons/ organisations. |
| 21 | Research involving the following require special consideration and the [insurer](mailto:insurance@surrey.ac.uk)’s prior approval **must** be sought. | | Please answer all | Please ensure your Risk Assessment demonstrates how risks to researcher/ participants will be mitigated |
| 1. Are you aiming to recruit any pregnant research subjects? | | Yes  No |
| 1. Any research subjects under 5 years of age? | | Yes  No |
| 1. More than 5,000 subjects? | | Yes  No |
| 1. Hepatitis, Human T-Cell Lymphotropic Virus Type iii (HTLV iii) or Lymphadenopathy Associated Virus (LAV) or the mutants, derivatives or variations thereof or Acquired Immune Deficiency Syndrome (AIDS) or any syndrome or condition of a similar kind howsoever it may be named; (b) Transmissible Spongiform Encephalopathy (TSE), Creutzfeldt-Jakob Disease (CJD), variant Creutzfeldt- Jakob Disease (vCJD) or new variant Creutzfeldt-Jakob Disease (nvCJD) | | Yes  No |
| 1. ionising radiations or contamination by radioactivity from any nuclear fuel or from any nuclear waste from the combustion of nuclear fuel; (b) radioactive, toxic, explosive or other hazardous properties of any explosive nuclear assembly or nuclear component thereof. | | Yes  No |
| 22 | Does your research involve contact with:  Children  Adults at Risk  Prisoners or young offenders  If Yes to any of the above, please confirm all relevant personnel will have/obtain all the necessary clearances (e.g. DBS) | | Yes  No  Yes  No  Yes  No | If you require a DBS, you must not begin any contact with these populations until the DBS is in place.  RIGO will require confirmation of this.  Please ensure your Risk Assessment demonstrates how risks to researchers/ participants will be mitigated. |
| 23 | Will you require access to another organisation/facilities/area/online forum that may require permission?  If yes, please provide details of the gatekeeper approval you will seek. | | Yes  No | You must provide formal gatekeeper approval to RIGO (letter/email) before you commence your research. |
| **Section C Ethical Issues** | | | | | |
| 24 | Who are the participants?  Click here to enter text. | | | E.g. University of Surrey staff and/or students. Include any exclusion/ inclusion criteria.  Ensure you include details of all your recruitment methods e.g. email, posters, location, access through an organisation, online advert |
| 25 | How will you be recruiting them?  Click here to enter text. | | |
| 26 | Where will you be recruiting them?  Click here to enter text. | | |
| 27 | Estimated number of participants  Click here to enter text. | | | Justify sample size (e.g. power calculation, referring to professional guidelines or other literature) |
| 28 | Details of reimbursements and/or incentives to participants  Click here to enter text. | | | e.g. Travel expenses, entry into a prize draw. Specify how participant personal data is kept separate from anonymised research data |
| 29 | What are the potential benefits to research participants?  Click here to enter text. | | | Please state any potential benefits to be gained by research participants. Note: these are not reimbursements and/or incentives. |
| **Section D Document checklist**  **Failing to proof-read study documentation will result in your application being returned to you.** | | | | | |
| These **must** show the version number and date e.g. v1, 01/01/20 | 1. **Required** PDF copy of completed SAGE Form | |  |  |
| 1. **Required** Study Protocol | |  |  |
| 1. Recruitment email/advert/poster | |  | Please include material for all recruitment methods. |
| 1. Participant Information Sheet/s | |  | Refer to guidance and templates on RIGO and University ethics webpages. |
| 1. Consent Form/s | |  |
| 1. **Required** Risk Assessment (if not included in your protocol) | |  | Please use a table within your study protocol or use a standalone form. |
| 1. Schematic/block diagram or flow chart of participant and data pathway | |  |  |
| 1. Data Management Plan | |  | Please include within protocol or provide separate document. Advice can be sought from the University [library](mailto:openresearch@surrey.ac.uk). |
| 1. Team summary | |  | For each team member, include name, title, position, max 1 paragraph summary of relevant research skills and experience. |
|  | 1. Questionnaire(s)/Interview schedule(s) if these are being used | |  | Please include questions for all participant groups. |
|  | Other, please state |  | To be added according to project needs e.g. debriefing statements |
| **Section E Declarations and signatures** | | | | | |
|  | I confirm that I have read and will comply with the Code on Good Research Practice and the Ethics Handbook for Teaching and Research. | |  |  |
|  | **For all students (UG, PGT, PsychD, PhD and EngD):**  Student Name: Click here to enter text.  Signature: Click here to enter text.  Academic Supervisor Name: Click here to enter text.  Signature: Click here to enter text.  **Signature must be an electronic or handwritten. We cannot accept a typed name in place of a signature.** | | |  |
|  | **For staff research:**  **Signature must be an electronic or handwritten. We cannot accept a typed name in place of a signature.**  Chief/ Principal Investigator  Name Click here to enter text.  Signature Click here to enter text.  Co-investigator Click here to enter text.  Co-investigator Click here to enter text. | | |  |
|  | **Ethics Application Form version and date:**  Version: Click here to enter text. Date: Click here to enter text. | | |  |